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Minutes of Meeting No. 14
USDA Records Management Council
Held June 10, 1953, 2:00 P. M., Room 124-E

Present:

Nira O. Smith	- BAE	Felton E. Robey	- FCA
C. E. Bass	- AIC	LeRoy Milbourn	- FHA
J. W. Stevens	- AIC	Robert Bausch	- FAS
Charles N. Lane	- ARA	Ruth Donovan	- FAS
Mildred K. O'Brien	- ARC	Howard Hayden	- FS
Julius Arnett	- BAI	Erwin C. Wagner	- FS
Charles Barrick	- BAI	William W. Brown	- Pers.
Emma G. Keehan	- BDI	H. Kay Berrey	- P&O
Edna E. Bushong	- EPQ	Peter J. Doyle	- P&O
Pearl P. Rupert	- EPQ	R. W. Everett	- P&O
Frances O. Debnam	- HN&HE	W. T. Luman	- P&O
John M. McLaughlin	- PISAE	Donald J. Simon	- P&O
Elmo Bryan	- B&F	William P. Jones	- PMA
Joseph P. Loftus	- B&F	Joseph K. Allison	- REA

Due to the absence of the Chairman, Mr. Allison G. Allen, the U.S.D.A. Records Management Council was called to order by the Vice Chairman, Mrs. Edna E. Bushong, at 2:00 P. M.

The first order of business was the approving of the May minutes, and there being no corrections, they were approved as written. Mrs. Bushong stated that there was no planned speaker for this meeting as the Steering Committee thought it would be a good idea to have an open discussion and give everyone an opportunity to get better acquainted. The meeting was then turned over to Mr. Doyle who called on various members of the Council to give a report on anything that might be of interest to the Council.

Mrs. Mildred O'Brien, ARC, stated that they had an active records management program and felt that they were coming along real well. She also stated that Mr. Heston of the Federal Records Center in St. Louis, Missouri, who recently visited them, had helped her quite a bit and they had disposed of 54 cubic feet of records.

Mrs. Frances Debnam, HN&HE, told about their cleaning up operation in the South Building Attic and stated that they had done a good job but had not quite finished the filing cabinets. HN&HE is now working on a new project, whereby starting July 1 rubber stamps will be issued to all of their people so that any material prepared which they feel should be kept will be stamped requiring that it be returned for review before being destroyed.

Mrs. Edna Bushong, EPQ, told of her recent trip to various field offices where she aids in the installation of the Subject-Numeric system, and checks to see what the people find wrong or inadequate with it.

Mr. Charles Barrick, BAI, gave a brief talk on how his Bureau has been engaged for more than a year in a microfilming project.

Mr. J. W. Stevens, AIC, gave a report on his recent trips to Regional Laboratories in connection with records scheduling and meeting the June 30, 1954 deadline set by GSA. Mr. Stevens was grateful for the assistance of Mr. Everett, P&O.

Mrs. Nira Smith, BAE, stated that about two years ago her Bureau decided to set up the Subject-Numeric system in the BAE state offices. Mr. Lando went out and made a survey of the records in the state offices. He found that many of the state office records fell into the same pattern, but that commodities reported on were different in various sections of the country. Guide cards and folder labels were preprinted, a manual of file subjects and operating instructions were prepared, then training sessions were held in different sections of the country. Head clerks from several states were called together in a centrally located state office. Mr. Lando and Mr. Hillenbrand of BAE then instructed the Head Clerks on how to install the Subject-Numeric system in the state office where they were meeting. The group then proceeded to do this. Experience gained in this project was carried by the Head Clerks back to their own state offices, where they each proceeded to install the system. This work has been completed in many states, though not yet in all of them. The state offices are well satisfied with the new system. Mr. Hillenbrand also visits individual state offices in order to help with the installation, where help is needed.

Mr. W. T. Luman, P&O, mentioned that the new O.P.O. Publication No. 10 is now in the hands of the printers and hopes that each member will have a copy before the next meeting. He also stated that this book will include copies of all the general schedules.

Mr. W. P. Jones, PMA, stated that he enjoyed this type of meeting and hoped that it could be arranged to hear from more members at the next meeting.

The meeting was adjourned by Mrs. Bushong at 3:00 P. M.

Minutes of Meeting No. 15
USDA Records Management Council
Held July 8, 1953, 2:00 P. M., Room 2-W

Present:

Nira O. Smith	- BAE	James H. Austin	- P&O
W. H. Hillenbrand	- BAE	P. J. Doyle	- P&O
J. W. Arnett	- BAI	R. W. Everett	- P&O
B. G. Spille	- BAI	Virginia W. Jackson	- P&O
Anna G. Keehan	- BDI	W. T. Luman	- P&O
M. H. Miller	- EPQ	E. C. Purdy	- P&O
Frances Debnam	- HN&HE	Donald J. Simon	- P&O
A. G. Allen	- FHA	William P. Jones	- PMA
LeRoy Milbourn	- FHA	J. L. Talbert	- PMA
Charles V. Trowbridge	- FCIC	J. K. Allison	- REA
R. C. Bausch	- FAS	Paul A. Carroll	- REA
Ruth Donovan	- FAS	Dorathea Wallner	- REA
Howard Hayden	- FS	R. B. Heenan	- SCS
E. C. Wagner	- FS		

The USDA Records Management Council was called to order at 2:00 p.m. by the Chairman, Mr. Allison G. Allen. Mr. Allen opened the meeting with a statement that the minutes had been published and, since there were no corrections, they were approved as written.

He introduced Mr. Martin, representative of the Diebold Company who gave a demonstration of the new microfilm machine. Mr. Martin had copies of several pamphlets for each one who was interested. He described the machine as portable -- weighing less than 20 pounds. The camera is $750 and the reader is $245. The film magazines are $2.50 a roll. Several people asked questions and Mr. Martin said he would be glad to give private demonstrations in the various agencies if requested.

The Chairman thanked Mr. Martin and asked if there was any business to be brought up.

Mr. Everett stated that the Records Management Branch of GSA is going to establish a records Library where they will keep information from agencies regarding records procedures. Then anyone from any agency will be permitted to go and read the various procedures used in many organizations. They want bulletins, circulars, directives, etc. -- anything on procedures, records management, historical background, etc.

Mr. Luman announced that he hopes everyone is busy getting the figures for the statistical records holdings. PMA in connection with the taking of the inventory is also gathering some other information. They are finding out the cubic feet of records and non-record material. They are also determining the amount of empty equipment that they have. Such information

would be very valuable to all agencies and they could gather it as they took their inventory. This will make more than an inventory of records, as it will be a complete survey of drawer space.

Mr. Luman also announced that OPO Publication No. 10 has been printed and includes all general records schedules.

The question was asked that with present status of transportation records, does the Department plan to get out a definite policy on the permanent retention period of such records? Mr. Luman said that that was a good point to bring up and some studying along those lines will have to be done.

There being no further business to discuss, the meeting adjourned at 3:00 P. M.

Minutes of Meeting No. 19
USDA Records Management Council
November 12, 1953, 2:00 p. m., Room 124-E

Present:

Peter J. Doyle	- P&O	Pearl P. Rupert	- EPQ
Robert C. Bausch	- FAS	Emma G. Keehan	- BDI
W. T. Luman	- P&O	Nira O. Smith	- BAE
W. Hillenbrand	- BAE	Frances Debnam	- HN&HE
Felton E. Robey	- FCA	Maude H. Miller	- EPQ
Charles D. Barrick	- BAI	Don Simon	- P&O
R. B. Heenan	- SCS	R. W. Everett	- P&O
Randall S. Aubinoe	- SOL.	Allison G. Allen	- FHA
Gladdis B. Scarr	- OES	William P. Jones	- PMA
Van Milton	- EXT.	C. G. Christianson	- PMA
LeRoy Milbourn	- FHA	J. P. Loftus	- B&F
E. A. Geiger	- PMA	Mildred O'Brien	- ARC
V. W. Jackson	- P&O	Charles V. Trowbridge	- FCIC
E. C. Wagner	- FS	Theodore Schellenberg	- NARS
Hazel H. Thomas	- INF.		

The meeting was called to order by the Chairman, Mr. A. G. Allen, and there was no new business to be brought before the Council at this time. The Chairman then introduced the speaker, Dr. Theodore R. Schellenberg, Director of Archival Management, National Archives and Records Service, General Services Administration.

Dr. Schellenberg began by recalling his association of several years' duration with the Department of Agriculture, when he was a deputy examiner with the National Archives, assigned to make a survey of Department of Agriculture records. He remarked that he had probably visited all of our offices in the South and Administration buildings. He then discussed the factors which are considered in determining whether records are eligible for transfer to the National Archives. The chief factor is the value of the records in providing a history of the organization and functions of a government agency. In selecting for permanent preservation those records which have this value, the archivists must rely on the judgment of the officials of the government agency. Archivists are also interested in preserving records for possible future research use by scholars, but this value is considered a secondary one by the National Archives. It is very difficult to judge what record materials should be preserved for research, as the needs and desires of research workers are very broad. It is possible to conceive of historians and other scholars being interested in almost every scrap of paper created in a government agency.

Mr. Schellenberg pointed out that the archivists do not evaluate records on the basis of their value to the agency in conducting its future business. That responsibility remains on the agency officials. He said that another

factor considered in determining eligibility of records for transfer to the National Archives is how frequently the records are needed for current use by the agency. The National Archives does not like to take in records which have restrictions placed on their use. Mr. Schellenberg thought that records should be screened before being offered to the National Archives.

Dr. Schellenberg touched upon the history of the National Archives, which was established in 1934. At that time, there was no trained group of archivists in this country. The early staff of the National Archives looked to the archivists of Europe for guidance in archival thinking and practices. However, it was not long before European archivists were learning methods and ideas from the young American National Archives. An example of this was the National Archives practice, copied from European archives, of keeping records in the exact arrangement as when they were received from government agencies. This practice was dropped when it was found that records were being received in every kind of condition and in no particular order, making it impossible to arrange the records in proper relationship with one another. The present Archives procedure is to process records received into a physical condition which will assure their preservation, to place the records in the proper relationship with one another, to identify and classify them, and to publish guides or lists which will serve to make the records more readily available for use.

As part of its program of training a competent staff, the National Archives has published its Handbook and a series of Staff Bulletins. For the guidance of other government agencies, it has published the booklet entitled, "Disposition of Federal Records", written by Dr. Schellenberg. This booklet has the purpose of telling how to develop an effective program for the preservation and disposal of federal records. As mentioned previously, the National Archives has published many monographs and volumes describing the records held therein.

Dr. Schellenberg stated that each records branch of the Archives, such as the Agriculture Records Branch, submits an annual plan for placing its records in the proper state of arrangement, correctly identifying them, and effectively servicing them. For each group of incoming records, registration sheets are prepared which identify the records in a general way. If any agency restrictions have been placed on the use of the records, restriction statements are also made up. At the same time, lists of filing aids used by the agency are prepared.

The speaker also mentioned that the Archives has microfilmed a fairly sizable amount of records and made the microfilms available to research institutions. The Archives has issued a list of microfilm publications. The National Archives at the present time is carrying on the work of editing the Territorial Papers of the United States under the supervision

of the State Department.

At this time the meeting was opened for questions from the listeners.

Q. Who initiates transfers of records from the Federal Records Centers to the National Archives?

A. The National Archives does. Archivists make inspections of records in the Federal Records Centers in developing their annual work programs regarding records to be accessioned.

Q. Does the National Archives destroy any records after accessioning them?

A. Yes, but only after receiving consent of the agency concerned.

Q. Mr. Luman asked that Dr. Schellenberg comment on the different opinions held by the Archival Management Division and the Records Management Division of GSA on the format of records disposal schedules. The Archival Division wants schedules to be fairly detailed, while the Records Division favors the broad, or comprehensive, type of disposal schedule.

A. Dr. Schellenberg acknowledged the existence of different opinions within the National Archives and Records Service. He said that any records disposal schedule, comprehensive or other wise, should be based on a very careful, thorough inventory and analysis of the records concerned. He added that the actual format, or language, of the disposal schedule itself should be left up to the preparing agency. He felt that the format of the schedule as submitted to the National Archives need not be as detailed or as long as the supplementary instructions which would be issued to the personnel of an agency so that they might carry out the terms of an approved disposal schedule. In the matter of whether retained items should be shown on a disposal schedule, Dr. Schellenberg felt that this practice is helpful to the archivists in making their appraisals of the items marked for disposal. The Records Management Division of the NARS is also in favor of this practice.

Q. Should records with permanent value be transferred to the National Archives directly?

A. No, they should first be transferred to one of the Federal Records Centers.

Meeting adjourned at 3:00, the usual closing time.

The Steering Committee has decided to dispense with the December meeting.

Minutes of Meeting No. 20
USDA Records Management Council
January 13, 1954, 2:00 P. M., Room 124-E

Present:

W. H. Hillenbrand	- AMS	Howard Hayden	- FS
Nira O. Smith	- AMS	Frances Debnam	- HN&HE
Maude H. Miller	- ARS	Bertha Dunton	- Lib.
Edna E. Bushong	- ARS	James H. Austin	- P&O
Pearl P. Rupert	- ARS	Peter J. Doyle	- P&O
L. K. Wright	- ARS	R. W. Everett	- P&O
Charles Barrick	- ARS	Virginia W. Jackson	- P&O
S. H. Sears	- B&F	W. T. Luman	- P&O
Mary A. Vinall	- CEA	Donald J. Simon	- P&O
Van Milton	- Ext.	J. K. Allison	- REA
Robert T. Bausch	- FAS	Dorathea Wallner	- REA
Felton E. Robey	- FCA	R. B. Heenan	- SCS
C. V. Trowbridge	- FCIC	Randall S. Aubinoe	- Sol.
LeRoy T. Milbourn	- FHA		

The meeting was called to order by the Vice-Chairman, Mrs. Edna E. Bushong, and the minutes of the last meeting were approved as written.

Mr. Luman stated that he had three brief announcements to make, (1) the reorganization in the Department calls for a new distribution pattern of Title 3 of the General Services Administration Regulations and if anyone has any suggestions, please get in touch with Mr. Luman so the distribution list can be revised, (2) at the February meeting of the Records Council we are proposing to have Mr. Herbert E. Angel of the National Archives and Records Service to talk on the creation phase of the records management program, and (3) we have obtained three copies of General Services Administration Manual GS 7, Federal Records Management, Volume GS 7-2, which summarizes the policies and procedures of the Federal Records Centers. Anyone desiring to read this manual may borrow a copy for a period of one month.

The meeting was then turned over to Mr. John S. Lucas, Department Security Officer, who gave a brief talk on recent developments in the field of security regulations.

Mr. Lucas stated that the new Executive Order No. 10501 which revoked Executive Order No. 10290 and which became effective on December 15, 1953, designates that there are only three classifications and they are: Top Secret, Secret and Confidential.

Mr. Lucas stated that material formerly classified as restricted should be maintained as heretofore until determination has been made as to whether it should be upgraded or declassified. All presently classified "Restricted" material must be either upgraded or declassified by December, 1954.

As a result of the new Executive Order 10501, changes are being prepared in the Department's present regulations relating to security classified material. In the Department of Agriculture only the Secretary will have authority to

originate classified documents. Mr. Lucas added that less than two per cent of security-classified material in the Department receives original classification within the Department. He explained what is meant by originating security classified material in the Department. This refers to developing a document within the Department which had never been classified before and which is of a nature that requires it to be classified. If a classified document is received within Agriculture from another agency, the reply from Agriculture must be likewise classified; however, this is not considered as originating classified material within the Department.

Mr. Lucas said that abstracts may not be made from classified documents without prior approval from the originator of the documents. Classified papers must be transmitted in opaque envelopes in order to prevent reading or copying. He remarked that the job of getting present restricted material declassified will be a very difficult one, partly because of the volume of such documents and partly because of the several steps which must be gone through. Much of the papers now marked restricted are really of an administrative character, rather than of a security nature.

One of the changes which may be included in the revised Department Regulations will provide that the Secretary's Office will be responsible for the receipt and dispatch of all security classified material. There may also be changes in the methods of storing classified documents.

Following Mr. Lucas' talk, Mr. Ralph C. Janoschka of Record Files, Inc., then gave a demonstration of that Company's Nylo-glide transfer case and talked about other steel filing equipment, both standard and custom-built, which is manufactured by his Company. The meeting adjourned at 2:45 so that those who wished to do so would have an opportunity to examine the file and literature that Mr. Janoschka brought with him.

Minutes of Meeting No. 21
USDA Records Management Council
February 10, 1954, 2:00 P. M., Room 331-W

Present:

R. H. Lando	AMS	Charles V. Trowbridge	FCIC
Mildred K. O'Brien	ARC	Gardner Walker	FHA
E. E. Bushong	ARS	LeRoy T. Milbourn	FHA
Charles Barrick	ARS	Craig Bakie	FS
Frances Debnam	ARS	George D. Ferrare	FS
Maude H. Miller	ARS	Howard Hayden	FS
Pearl P. Rupert	ARS	Bertha Dunton	Lib.
B. G. Spille	ARS	Gladdis B. Scarr	OES
J. W. Arnett	ARS	James L. Buckley	Pers.
L. K. Wright	ARS	William W. Brown	Pers.
E. B. Bryan	B&F	P. J. Doyle	P&O
S. H. Sears	B&F	R. W. Everett	P&O
J. L. Wells	B&F	V. W. Jackson	P&O
Mary A. Vinall	CEA	W. T. Luman	P&O
J. H. Hamilton	CSS	F. R. Mangham	P&O
William P. Jones	CSS	D. J. Simon	P&O
J. L. Talbert	CSS	Dorathea Wallner	REA
Ruth Donovan	FAS	R. B. Heenan	SCS
Robert Bausch	FAS	R. C. Wright	SCS
Mildred Farrow	FCS	L. E. Roberts	Sol.
R. L. Alton	FCS	Guy W. Carmack	Sol.
F. E. Robey	FCS	Fred P. Herzer	Sol.
W. N. Monies	FCIC		

The regular monthly meeting of the USDA Records Management Council was called to order by the Vice-Chairman, Mrs. Edna E. Bushong, and the minutes of the January meeting were approved as written.

Mr. Luman stated that he was glad to see such a large attendance and invited them to attend any of the meetings at their convenience.

The meeting was then turned over to Mr. Herbert E. Angel, Director of the Records Management Division, National Archives and Records Service, General Services Administration, who spoke on the subject of records creation. Excerpts from Mr. Angel's speech are attached herewith.

The meeting adjourned at 3:00 P.M.

CONTROL OF RECORDS CREATION

Mr. Herbert E. Angel

To give you all the answers on records creation control now would take slightly longer than the time I have been allotted. This question of records creation is one of the fundamental things, probably the most fundamental, about the operation of a Records Management Program. Yet it is a curious fact, almost never can you start a program by working first in the records creation area.

Nearly every records management program I am familiar with, whether in Federal, State, or local Government, or even in private business, starts first with the third major element of records management, that is, records disposal or retirement. Gradually it works its way back through records maintenance or records systems, and then finally deals with the question of creation of records.

The only exception I can think of is the experience we had in dealing with the emergency agencies of the Korean war. In working with them as rapidly as they came into being, we couldn't start with records retirement or records disposal, because they had nothing to retire or dispose of. In those agencies, and in those alone, was it possible to start where one would normally think of starting, with records creation, and then proceed to maintaining the records during their current life and finally disposing of them.

Most long established agencies, and I think the Department of Agriculture would be no exception, would first deal with records retirement, and you are coping with that quite well. Then they would tackle records maintenance and records systems, and the Department of Agriculture has a long and honorable history there. Then they would move into the area of records creation, and by that I mean bringing records into existence as evidence of administrative action.

The objectives you have in mind are fewer and better records. You want to make sure, on the positive side, that you create those records that need to come into being. All of us at one time or another have wished we had made a better record of something that had occurred. We go back to scrawls on the calendar pad and on slips of paper in an endeavor to recreate in our own small bailiwick what we wish had been put down. That is also true in upper levels of Government administration, where Joe calls John on the phone. Momentous decisions are made, and sometimes they are not in writing.

On the other hand, too many people make a lot of records they don't need. This is often a protective device. When one of my friends retired as a Marine Colonel, he took into retirement four trunkfuls of releases he had received at various times in his career for this or that piece of property which had left his custody. He was not going to be court-martialed because

of lack of documents. I think the Colonel may have been overdoing it.

There is another example of the defense mechanism that you find in records creation. Someone once asked for something, and when it couldn't be produced immediately, the boss got angry and someone got embarrassed. That sort of thing, multiplied by hundreds of thousands of people in Government, can be and is responsible for a lot of situations we find ourselves in.

We can blame inanimate devices for some of it. Inanimate is the wrong word -- they look animated indeed; the typewriter, for example. The quill pen had kept records creation within balance--it was not easy to make copy after copy with a quill pen. The typewriter and the advent of carbon paper sort of changed things. With the mimeograph and multilith machines coming to the typewriter's support, we are just about swamped.

Taking the figures you and other agencies submitted, at the end of the fiscal year 1953, the Government as a whole was creating 4.2 million cubic feet of records a year. Translating that into the usual measurement, the Pentagon Building, you filled one and one-half Pentagon Buildings with records in the fiscal year 1953. We were kept from being engulfed because we threw away 3 million cubic feet of records, so we only lost ground to the extent of 1,200,000 cubic feet.

Actually, for the first time the civilian agencies of Government got their books into balance. They created no more records than they disposed of. They struck a perfect equilibrium at 1.4 million cubic feet. We have high hopes in the present year we will turn the tide. Maybe we will get it running the other way by 1955 or 1956.

It is all very well to say that too many of these records are being created and we ought to stop it. To control records creation, you have to be a little more tangible than that. Fortunately, there are some gimmicks that have been tried and found fairly practical, not only in Government agencies but in private business, as specific means of controlling the creation of records. Some of them are quite familiar, some of them less so.

In the time I have, I will go as far as I can on four or five of them. The ones I want to talk about are correspondence management; forms management; reports management; directives or issuances management; and maybe microfilming. All of them have a distinct bearing on the creation of records. They can be used to cut down on volume.

One of the more prolific types of records around Government is forms. That probably is the one that is most often controlled of all of those I have mentioned. I know that for a long while the Department of Agriculture has done work in forms control. It is always a problem, you know, whether to refer to forms management, forms control, or forms standardization, though all mean the same thing. In many agencies, it is considered bad form to use

the word "control." Whatever the term, we mean some technique for coping with the ever-increasing mass of forms.

Forms control, you probably recall, originally started out in the hands of people with a printing background. They found they could save money by printing several forms at once; or by printing forms of a size which could be cut evenly out of a sheet of paper; or by using black ink rather than green or purple or some other outlandish color which an operator dreamed he had to have.

Later, some systems man got involved in forms control. He considered whether the form was for typewriter or longhand use so one would always get a line coming up even with the line of typing rather than having the line always in the middle of the typing. He considered the fellow who would write on a form in long hand. Did he wear a white or a blue collar? If he wore a white collar, he would require less writing space. If he were a blue collar worker, he would require more space because his hands might be cold, or dirty, or clumsy.

Then people with a records background came into the picture. They wanted to know: Why did they always put the thing you file by down in the middle of the form where you could not find it? So they began to put the number or whatever you file by in the proper places. Why so many copies, they asked. Where did they go; what happened to them; by what sort of a time table did you get rid of them?

So forms control is the best known records creation control device around Government. A lot of attention is also given to it in private business. Most of the major companies have their own forms control program. One management engineering company does nothing but sell forms control systems to private business.

Then there is another large group of records which, for want of a better word, we call correspondence--primarily letters that go out as distinguished from letters that come in. Many agencies have to write hundreds, thousands, and sometimes millions of letters. As nearly as we can make out, Government writes a billion letters a year. Multiply that by the cost of writing the letters and you get some fairly fancy figures. Add to that the cost of shuffling the papers and filing copies of them and the figures go higher.

There has been a fair amount of work done in several agencies of Government in controlling correspondence that generates within the agency. Correspondence management began on a program scale in the Civil Service Commission in the early days of World War II. A very intensive program of correspondence management developed later in the Navy Department, and the Veterans Administration has done a great deal on it. Other agencies have worked on a less extensive scale.

There are varying ways of dealing with correspondence; one is form letters. There are different kinds of form letters, but this is not the time to go

into them. We can identify half a dozen different types of form letters that are most likely to be found in Government agencies and private business.

Then there is the so-called pattern letter. This is useful where you can't pull a single letter out of a pigeon-hole and send it to Joe; because he has asked two questions, and you don't want to send two form letters, so you have to combine. Devices have been worked out so that answers to each of Joe's questions is written down in paragraph form on cards or sheets, or in procedure manuals, or on various kinds of visible equipment. If you don't like one opening paragraph, you have an alternative. You have two or three different ways of closing a letter. You can also have alternative paragraphs inside the body of a letter, covering a number of situations.

You can even use pattern letters where for public relation reasons you are unable to use a form letter. A typical case would be the casualty letters written in the military agencies. The letters are basically the same, with the only really important changes being the names involved. The letters are basically the same, yet one shouldn't send a form letter, so the electric typewriter is often used in preparing a pattern letter. A similar application is appropriate in awarding citations and medals. Nearly all repetitious correspondence can be reduced to pattern.

In the Navy during the war, the feeling was, "This is a human matter. You can't be hard-hearted. You can't reduce this tragic situation to form letters." We would say, "Let us see the letters you have been writing." When we analyzed them, we would find that even the most literary of the correspondence officers could only think of eight or ten different ways of saying the same thing. Consciously or not, they had been writing form letters. Once this situation is recognized, you proceeded from there to make the most of form letters in terms of speeding things up.

Then there is the problem of copies of letters. I have seen cases where people sent out form letters but kept two or three copies of each. Everyone knew what Form Letter 36 said, but still two or three copies were prepared and filed in the normal way. In ordinary circumstances, that is unnecessary. Through the efforts of the records management staff in one agency where we are currently working, 350,000 copies of form letters are going to be knocked out in one office, per year. They will be neither made, handled, nor filed.

These are some of the devices that have been worked out for handling correspondence in the mass. Their use is not limited to Government. Another private management engineering firm is making a good living by selling correspondence management techniques to private business.

Another control device that takes on some characteristics of forms control is reports control. Everyone agrees that he makes too many reports. But, on the receiving end, there are never enough. We know how time-consuming reports preparation can be.

The simplest kind of reports control is the one that Dick Paget installed at Navy during the war. Everybody agreed there were too many reports. The solution was very simple. Paget went to everyone making reports and asked them to write down the reports they thought were no good. Then he went around to everyone who got reports and asked them to write down all the reports they got that they didn't need. He put the two lists together. Any report that appeared on both lists was scratched. That knocked out 25% of rhe reports. There was no analysis, just matching.

Reports control gets more complicated as you get into analysis. Before the Korean War, Navy analysts had cut the number of reports in half in all bureaus and offices. When the war broke out, reports became more obnoxious. People of higher rank got interested. A second round of analysis cut in half again that which had already been cut in half. The backing was there. The painful decisions were taken out of the hands of people down the line and put into the hands of people up the line.

Hundreds of thousands of man-hours of time can be saved by a good reports control program. There is a good manual by Navy on the subject. Reports control programs are also operated in the Army, Air Force, and some other places although they generally have a statistical rather than a general management emphasis.

Also within the scope of records creation is the control of directives, issuances, orders, and such things that come out in mimeograph form, go to everybody, and settle themselves comfortably in the files for ten years or so. How to control them? How to find the ones issued? How to make sure they are rescinded at the proper time? You have done much in that area in Agriculture. Bill Harris did a lot of work on directives at the departmental and agency level not too long ago. You have gone further than many agencies. There are also other agencies which have made fairly intensive drives on the control of issuances, making sure that everyone who has access to a mimeograph machine can't break out with a rash of orders to everyone else, but rather making sure they are controlled.

The final aspect of records creation I want to touch on only briefly is microfilming. I am not sure it belongs in the area of records creation. It can be used as a records system device, and also for records disposal. We might be justified in talking about it here, because when you take a picture, you are transposing a record from one form into another and are creating a record.

A management company has been making a survey for us of microfilming around Government. They are of the opinion that the microfilm equipment of Government is not used to 50% of its capacity, maybe not even to 25%. They are of the opinion that microfilming now being done should not be done in half of the instances. They are also of the opinion that a lot of microfilming should be done that is not now being done.

What shall we do about records creation? From our point of view, we will move in two ways. We feel it is our job in GSA to provide staff leadership, but the real work has to be done in the individual agencies. We can provide specialists in the different areas I have mentioned, people who have spent many years in the work and who can serve as advisors; specialists who can be called in by generalists in any agency who might need advice on problems peculiar to their specialty.

Since we will not be staffed up to do all the work that needs to be done in all agencies, we are attempting to pick the brains of the specialists and to set down what they know; to write down guide lines and criteria. That has been done, and ten or a dozen pamphlets have been developed on such topics as the elements of an issuance system; developing form letters, etc. They are in draft form, and as rapidly as we can we will print them and distribute them around Government for general guidance of the agencies. They can use those and answer many of the questions for themselves. If there are further questions over and beyond the printed word, our specialists will be available.

In order to expedite the publication program, we have asked the Budget Bureau if it can find some money in the President's Management Improvement Fund to help with the publications. We don't know how successful we will be.

By supplying technical assistance, we believe we can get the ball rolling in the area of records creation, handling the different things I have mentioned. From that point on, it is a question of how diligently will the agencies apply themselves; how much backing will the program get; is top side in earnest? There are tried and proven devices for controlling records creation; but we do not think we know all the answers. There are other gimmicks that can and will be found for controlling the creation of records.

Just yesterday a group I was talking to suggested that some electronic devices would offer some help. I am afraid electronic devices can create records faster than we can do anything about controlling them. Maybe we will need some simple device to control electronics—perhaps a circuit breaker or a fuse blower.

There are ways of going about records creation control, and when you in Agriculture are ready to move ahead in any of these fields, you will find information and guides that will help you. I have run out of time. I am at your disposal for any questions.

Mr. Trowbridge (FCIC): As far as forms control is concerned, at what station would be the best place to start? Where would the starting point be for forms control?

Mr. Angel: Are you thinking in terms of a program or organizational setup?

Mr. Trowbridge (FCIC): In terms of program.

Mr. Angel: From an organizational setup, it doesn't make too much difference where forms control is placed, whether in Records Management, Organization and Methods, or next door to the printing shop. The real question is how much do people really want to control forms. Then its organizational position is secondary.

From the program standpoint, there are some basic things to be done. You assemble all the forms you have. You organize them into two files, by subject matter on one hand and by number on the other. Then you inject screening, so you can catch the new forms as they go through. When you are not too busy, you work your way back through the subject files to eliminate duplication, concentrating on the forms you are using the most of. You set up control devices for printing and reordering, so you don't overstock and so your needs are geared to production. You watch distribution and stocking in whatever outlets may be available to your agency.

There are six or eight different major elements that most people agree should be present in any well rounded forms management program. I have drafted for the American Standards Association a statement of the elements that should go into a good forms management program. The questions of personnel, staffing, and organization are secondary to those elements, some of which I have just mentioned.

Mr. Jones (CSS): Did I understand you to say that on correspondence, forms control, reports, etc., you are going to give out pamphlets?

Mr. Angel: Yes. In some instances, several in a given subject area.

Mr. Jones: Are you also going to put out a series in your regulations--a series on creation?

Mr. Angel: Yes, the regulations will parallel the pamphlets. Let us take form letters. As we bring out the pamphlet on controlling form letters, consisting of maybe twenty pages, we will parallel that at the time of issuance with a paragraph or two in the regulations. Those paragraphs in the regulations having to do with records creation may be less precise and definite than those having to do with records disposal. We may say "Form letters are a good thing; you should use more of them" or the regulations may be more stringent than that.

Any regulation will start out by being less rather than more arbitrary, because while we and other people have a lot of experience, we still don't have all the answers. The subject may be too complicated to permit us to be positive. We can suggest to you one or two or three of the best possible ways. We can also call attention to things most people tried and found should not be done.

Mr. Talbert: It is by nature optional rather than regulatory in creation; you couldn't get too specific.

Mr. Angel: No. Let us take stenographic aspects of correspondence management. You may have to initially deal with this by a style manual, a correspondence style manual which can be used in all Government agencies. Our collection of style manuals in use throughout Government numbers between 65 and 70. Most of them copy word for word, paragraph for paragraph, the Government Printing Office Style Manual or each other. Where they were written on their own, they usually got into trouble.

There are just dozens of these manuals, and they all take someone's time and all take extra money to print. We think it possible to have one manual, at least one common denominator, still allowing room for reasonable changes as the Departments' privilege.

For example, you can get into a terrific fight over whether to have block paragraphs or whether to indent five or ten spaces. I think you can make a better case for block paragraphs. However, it doesn't make much difference. We can say "The policy in this agency will be," and leave a space where the agency may choose block paragraphing or indent paragraphing.

In something that is less clear cut, we can put down two or three best ways and omit nine or ten ways someone dreamed up over a period of time. We think something of that kind can work. Our thinking is in that direction. There may even come a time when we can say all paragraphs will be either indented or not.

Mr. Trowbridge: There should be something parallel to the disposition program.

Mr. Angel: We thought we would work with those in GPO who have to do with editorial style. We can decide whether to capitalize this or that or whether not to. We can cover other things--paragraphing, indenting, salutation--maybe we can get unanimity on some points. In some agencies, if the Secretary wants all paragraphs to consist of no more than eight lines, and all file copies to be on pink tissue instead of green, that can be spelled out. I don't know how to get past personal preferences. We must recognize them.

Mr. Talbert: It will be hard to lay down rules and regulations but the pamphlets will be nice.

Mr. Angel: Yes, in the field of correspondence, for example, we can probably prescribe that every agency is to have a correspondence manual. If we develop one, maybe most agencies will adopt it voluntarily. A new agency will not have one and may adopt the standard manual as an easier course than developing one of its own. If you live long enough, you will get a surprising amount of unanimity in such matters.

Mr. Jones: Why are you putting Archives people in your Records Centers?

Mr. Angel: There is a very good reason for that. The Archives building is right full and I wouldn't be surprised if, with the passage of years, you will find our Records Centers developing into something resembling regional Archives. There is a very distinct local interest in records. The head of an agency in Seattle, for example, was greatly alarmed because he was afraid I was going to bring some of his older records back to Washington with me. Many records of that type will be left in the locality. In order to care for records of that type properly, we hire archivists who are professionally trained.

Mr. Talbert: In the central office, the attention is on decentralization?

Mr. Angel: In Washington, we have each year moved out of the Archives Building several thousand feet of records into the Records Centers.

Mr. Talbert: There has been that concept among your archival people?

Mr. Angel: The first of the records centers opened its doors only in 1950. We haven't had four years behind us yet. We have two and one quarter million cubic feet of records in our centers. Before we can give too much attention to the question of regional archives we will be bothering you to give us help in throwing out some of the less valuable records. Sixty percent of all Federal Courts have now transferred their records to the centers. Most of their records take on a permanent cast. Things are moving, but at a pace faster than I would like to maintain for the next ten years.

Minutes of Meeting No. 22
USDA Records Management Council
March 10, 1954, 2:00 P. M., Room 331-W

Present:

Robert H. Lando	- AMS	Howard Hayden	- FS
Edna E. Bushong	- ARS	Craig Bakie	- FS
Mildred K. O'Brien	- ARS	Hazel Thomas	- Inf.
J. W. Arnett	- ARS	Bertha Dunton	- Lib.
Pearl P. Rupert	- ARS	William T. Luman	- P&O
Maude H. Miller	- ARS	Virginia W. Jackson	- P&O
Gladdis B. Scarr	- ARS	James H. Austin	- P&O
Frances Debnam	- ARS	Donald J. Simon	- P&O
J. P. Loftus	- B&F	R. W. Everett	- P&O
H. Rawcliffe	- CSS	P. J. Doyle	- P&O
William P. Jones	- CSS	Dorathea Wallner	- REA
F. E. Robey	- FCA	Joseph K. Allison	- REA
LeRoy T. Milbourn	- FHA	L. E. Roberts	- Sol.

Due to the absence of the Chairman, Mr. A. G. Allen, the regular monthly meeting of the USDA Records Management Council was called to order by the Vice-Chairman, Mrs. E. E. Bushong.

Mr. Doyle briefly outlined some of the points in the by-laws pertaining to the election of officers and stated that each agency shall only have one vote. Mr. Doyle then read the list of names that had been selected by the Nominating Committee for Chairman, Vice-Chairman and two members of the Steering Committee. Ballots were distributed and prior to the actual voting Mrs. Bushong asked for nominations from the floor or if they wished to do so they could write nominations on the ballot. The ballots were then counted and tabulated with the following results:

Carl G. Christianson (CSS) - Chairman, to serve for 1 year
Howard Hayden (FS) - Vice-Chairman, to serve for 1 year

<u>Steering Committee</u>

Joseph Loftus (B&F), to serve for 2 years
Dorathea Wallner (REA), to serve for 2 years

Mr. William P. Jones, CSS, and Miss Ruth Donovan, FAS, will continue to serve on the Steering Committee for one more year. Mr. P. J. Doyle, P&O, will continue to represent the Records Administration Division on the Steering Committee.

There being no further business to discuss the meeting was adjourned by the Vice-Chairman at 2:30 P. M.

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Minutes of Meeting No. 23
USDA Records Management Council
April 14, 1954, 2:00 P. M., Room 124-E

Present:

W. H. Hillenbrand	- AMS	John Smiroldo	- FCS
Nira O. Smith	- AMS	Gardner Walker	- FHA
R. H. Lando	- AMS	LeRoy T. Milbourn	- FHA
Maude H. Miller	- ARS	Sarah Snyderman	- FHA
Pearl P. Rupert	- ARS	Charles V. Trowbridge	- FCIC
Frances Debnam	- ARS	Van O. Milton	- FES
Edna E. Bushong	- ARS	Clayton Kennedy	- FES
Charles D. Barrick	- ARS	Oneta Smith	- FAS
Edward E. Shaffner	- ARS	Craig Bakie	- FS
Elmo B. Bryan	- B&F	Howard Hayden	- FS
E. A. Almond	- B&F	Hazel H. Thomas	- Inf.
R. B. Stevenson	- B&F	Zelma Hicks	- Inf.
G. Howard Sears	- B&F	W. T. Luman	- P&O
J. P. Loftus	- B&F	R. W. Everett	- P&O
Mary Lee Butler	- CEA	P. J. Doyle	- P&O
Anna Mae Reid	- CEA	D. J. Simon	- P&O
J. L. Talbert	- CSS	Virginia W. Jackson	- P&O
Carl G. Christianson	- CSS	Morris Kaufman	- P&O
C. E. Wylie	- CSS	Dorathea Wallner	- REA
H. Rawcliffe	- CSS	Joseph K. Allison	- REA
R. L. Paxton	- CSS	G. E. Lewis	- SCS
Felton E. Robey	- FCA	Robert B. Heenan	- SCS
Harold D. Walker	- FCS	Fred P. Herzer	- Sol.

The regular monthly meeting of the U.S.D.A. Records Management Council was called to order by the newly elected Chairman, Mr. Carl G. Christianson. Mr. Christianson stated that he was quite honored to have been selected as Chairman of the Council.

Mr. Christianson asked if there were any additions or corrections to be made in the minutes of the last meeting. There being none the minutes were approved as written.

The meeting was then turned over to Mr. Joseph P. Loftus of the Office of Budget and Finance who discussed recent penalty mail legislation and some aspects of the historical background on penalty mail. Excerpts from Mr. Loftus' speech are attached hereto.

Attachment

Excerpts from talk given by
Mr. Joseph P. Loftus, B&F, at meeting of
USDA Records Management Council, April 14, 1954

The postal service abroad was initiated for the convenience of the King and his court in the transaction of affairs of state. In France, for example, such service was established in 1464. In 1576 (112 years later) provision was made for the conveyance of private letters at specific rates of postage. In Germany, the state assumed control of the posts in 1649 (73 years after that development in France). Public postal service at a fee was initiated in England in 1633. The significant point to note is that the Sovereign (i.e. the King or the Government) enjoyed free use of the postal service. Private users, on the contrary, bought the use of the postal service, (i.e. paid postage).

In England in 1652, the Council of State gave orders "that all public packets, letters of Members of Parliament, of the Council, of officers in the public service, and of any persons acting in a public capacity should be carried free." Abuses arose resulting in the issuance of a warrant in 1693 to the effect "that in the future no letters were to go free except those on the King's affairs." Thereafter policies varied from time to time.

In the North American colonies originally the privilege of the newspaper frank was introduced, presumably to aid in the dissemination of information and because it was consistent with a custom then existing in England. To this day newspapers and magazines are accorded a very low rate of postage as second-class mail.

In the USA since 1794 the franking privilege has been subject to innumerable modifications. In 1873 the frank was abolished and the Postmaster General was required to provide postage stamps or stamped envelopes of special design for each of the executive departments of the Government. "The change proved anything but a money saver, since the official stamps were used for personal letters to a greater extent than under the franking privilege." The franking privilege was soon restored to Congress together with the introduction of the use of penalty envelopes in the departments. The franking privilege and especially the Congressional frank has been the object of continuous attacks originating within Congress itself and on the outside. These criticisms have been based on abuses to which the system has been subjected and on the loss in revenue which the Government has suffered.

In 1944, Congress enacted a Penalty Mail Act designed to curb the distribution of "propaganda material" sent through the mail by Federal agencies. The law required that each agency report on the number of penalty indicia used (envelopes, cards, labels, wrappers, tags, self-mailers, etc.) and compute postage charges at a flat rate based on cost figures prescribed by the Post Office Department. The unit cost varied from 1.5 cents to 1.8 cents per penalty indicia item. Under this system agencies kept track of their mailings through various procedures and postage amounts were deposited in the Treasury as Miscellaneous Receipts.

In 1947 the Budget Bureau made a study to determine whether the law was effective in reducing the volume of Government mail transmitted through the postal service. Beneficial results were not apparent. The Budget Bureau found that the volume of penalty mail had increased from 460 million pieces in 1930 to 1,700 million pieces in 1942. The cost of handling this volume was estimated at 8 million dollars in 1930 and 24 million dollars in 1942. The Budget Bureau concluded that the proper avenues of approach to control overall mail volume are control of (1) operating programs, and (2) publications programs. It was considered unlikely that other methods of paying for postal service would be any more effective as control of mail volume than the appropriation limitation of the Penalty Mail Act.

The Budget Bureau observed that post office services, which can be of assistance in the control of mailing lists, were not used extensively by Government agencies.

On the basis of the Budget Bureau report, Congress repealed the Penalty Mail Act of 1944 and enacted the Penalty Mail Act of 1948 (39 U.S.C. 321 a-n). This latter act required each Department to report its inventory of penalty indicia items at the close of each fiscal year. Interim reports were also required on procurement of penalty indicia items. This information is used by the Post Office Department to report to Congress on the volume of penalty mail and to indicate the services rendered by the Post Office Department to the Government as a whole.

In 1953 Postmaster General Summerfield determined that he would eliminate the operating deficit experienced by the postal service. He stated before the House Committee on Post Office and Civil Service that the postal deficit had been 700 million dollars for the past 10 years; that the national debt included 7 billion dollars attributable to the postal deficit; and that the interest on this sum of money approximated a thousand dollars a day. Through economies in the Post Office Department and a general increase in postal rates (to be authorized by Congress) he hoped to overcome the deficit. He said that penalty mailings by the Executive Branch were costing about 36 million dollars and that he proposed that Government agencies should reimburse the Post Office Department for this expense.

Congress enacted Public Law 286, which became effective when signed by the President on August 15, 1953. This law specified that based on the accountings made to the Post Office Department under the Penalty Mail Act of 1948 "there shall be transferred to the Post Office Department as penalty revenues----the equivalent amount of postage due therefor", pursuant to regulations prescribed by the Postmaster General.

The Department on August 25 wrote to the Budget Bureau and also the Post Office Department recommending that the procedures for reimbursement of the Post Office Department be simplified to the extent possible in order to eliminate the burden of record keeping, reporting, etc. Three alternative methods were

suggested: (1) an inventory method, whereby each agency would pay for penalty indicia used as indicated by inventory reports, allowance being made for spoilage, obsolescence and other factors of non-usage; (2) prepayment method, through the use of special stamps, postage meters, and similar practices followed in private business; and (3) acquisition method, whereby obligations would be set up for postage costs at the time penalty indicia materials were procured, with allowances made for a certain percentage of non-usage.

Regulations issued by the Postmaster General, however, prescribed that reimbursement of the Post Office Department should be based on postage costs for first, second, third and fourth-class mailings. This introduced greater complexity than had existed in 1944 and presented a wholly new problem. In U.S.D.A. we were obligated to estimate for budgetary purposes without factual data and experience on which to forecast. Budget and Finance Memorandum No. 269 was issued on October 9, 1953, and outlined in considerable detail the requirements of the new law. Budget Bureau Bulletin No. 54-4 (transmitted to agencies with B&F Memorandum No. 263, Supplement 1) prescribed that penalty mail costs be related to each appropriation item to the extent feasible.

In compliance with these instructions, agencies of the Department were requested to establish a record keeping and reporting system which would provide basic data on the volume and the character of their mailings. It was contemplated that each agency would establish such a system and gather information during the quarter, January through March 1954, in order to provide factual information about the Department's mailings. It is important that each agency determine the "pattern" of its mailings. For example:

1. What percentage of small envelopes are used for each class of mail?

2. What percentage of large envelopes are used for each class of mail?

3. What percentage of "other indicia items" are used in each class of mail?

4. What unit costs are disclosed in each case?

With information of this kind agencies may be able to simplify existing procedures and compile reports to the Post Office showing the volume and type of mailings together with the costs.

Forms used in accounting for penalty mail are the following:

AD-192 - Daily Tally Sheet.

AD-191 - Monthly Summary of Penalty Mailings.
The above forms are used to record actual practices.

AD-297 - Certificate of Official Matter Mailed under the Penalty Privilege.

This is a quarterly report accompanied by payment for postage charges.

AD-298 - Quarterly Statement of Penalty Indicia Matter Acquired Locally, and Certificate of Compliance.

AD-296 - Annual Inventory of Penalty Matter.

This form involves reconciliation of the inventory reported for the preceding year, the mailings during the current year, and the inventory at the end of the current year.

It is important that personnel of the Department have a general understanding of the penalty mail regulations. As private citizens we understand how to use the mails to send matter first class or by parcel post, or otherwise. Penalty mail actually is a fifth class of mail, privileged in many ways, which we are required to account for as first, second, third or fourth-class mail - depending on the contents. A sealed envelope may be first class or third class depending on the contents. To simplify existing procedures the Post Office Department provides that all small envelopes containing first-class matter may be transmitted at three cents each; large envelopes containing first-class matter may be sent through the postal service at nine cents each. Other mailings require that postage be computed on the weight of the item (up to eight ounces for third-class mail; one to four pounds for fourth-class mail). In the case of fourth-class mail it is also necessary to take into account the zone of destination.

Minutes of Meeting No. 24
USDA Records Management Council
May 12, 1954, 2:00 P. M., Room 124-E

Present:

J. L. Talbert	- CSS	Dorathea E. Wallner	- REA
C. G. Christianson	- CSS	Roger E. Harper	- CEA
C. S. Adell	- AMS	Howard Hayden	- FS
Sylvia Czayo	- REA	Craig Bakie	- FS
H. Rawcliffe	- CSS	D. J. Simon	- P&O
Howard Sears	- B&F	William W. Brown	- Pers.
John Cotting	- ARS	R. W. Everett, Jr.	- AMS
Felton E. Robey	- FCA	W. H. Hillenbrand	- AMS
Gardner Walker	- FHA	Peter J. Doyle	- P&O
R. M. Gaver	- REA	Hazel Thomas	- Inf.
R. B. Heenan	- SCS	Frances Debnam	- ARS
G. E. Lewis	- SCS	LeRoy Milbourn	- FHA
Charles D. Barrick	- ARS	V. W. Jackson	- P&O
James H. Austin	- P&O	W. T. Luman	- P&O
R. H. Lando	- AMS	Russell L. Paxton	- CSS
William P. Jones	- CSS	J. P. Loftus	- B&F
Joseph K. Allison	- REA	Bertha Dunton	- Lib.

The regular monthly meeting of the U.S.D.A. Records Management Council was called to order by the Chairman, Mr. Carl Christianson. Mr. Christianson stated that if there were no corrections to be made in the minutes of the last meeting they would stand approved as written.

The meeting was then turned over to the first speaker on the program, Mr. James L. Talbert, who spoke briefly on the forms management system in the former Production and Marketing Administration. Mr. Talbert stated that PMA was first organized in 1945. It involved bringing together 11 agencies along with some smaller units. At that time PMA was a very sprawling organization but in Washington they did set up a Budget and Management Branch. It took a rank equivalent to other program branches and first started off with forms management program. Organization and Methods was a division under it. In that division they placed forms management. In 1949 the forms management functions were taken from the O&M Division and placed in Administrative Services and tied into the same division structure as records management. The Records Analysts worked with Forms Analysts to determine the retention periods, etc. Most of you here that have dealt with both will recognize the relationship.

Mr. Talbert then called on the second speaker, Mr. Chester S. Adell, to tell about the problems encountered and to give his views on the forms management program.

Mr. Adell stated that when they started the forms management program, they didn't have the slightest idea how many forms were involved. They had to look at all of them and see what was available and see how they could be used, how

much duplication there was, etc. They had to ask Branches to send copies in to see, then they began to get so many at once that before they could get them analyzed, they were obsolete. Branches one at a time then sent them in at our request. We asked for two copies. The first copy started a basic history or made a record of it for later use, and the second copy which was coded was used to put in a functional file. (A functional file is a device to allow Forms Analysts to compare like forms to prevent duplication at later date). The way we went about the coding was to make the first letter of the code relate to the type of form it was. The second part of the code was a number which related to a subject, for instance, inspection or reimbursement, etc.

Mr. Adell further stated that so many people feel that the forms management program boils down to nothing but control. That is quite wrong. Control system is one of the first things. We figured nothing fancy was needed, just a simple ledger type book where we just listed forms by symbol, etc. We thought that the fewer forms put in as PMA the better. There were 4 distinct groups that we ended up with - Commodity Credit, Marketing Quota, PMA Series (overall use forms) and a separate series for each of the commodity Branches (CN, DA, GR, etc.)

The next step was summarizing all of these forms. We had to find out how many copies and to whom they went and why. We had to find out how it was executed because that would eventially reflect how the questions were stated on the form. We had to be careful that they didn't have too many on hand, and determine the forms that were superseded. At the time of analysis, we tried to tie in records people. It also had to tie in with procedure group. It didn't take us long to find out we had to have a firm working relationship with procedure people. We had to tie in close with reproduction.

The last step was clearances. In PMA we divided our forms into two groups. Everybody is familiar with what a Public Data Form is. Other forms we considered internal. We worked close with B&F on AD forms.

The next point is design of forms. There are just about 8 main points we try to consider before we touch it.

1. Is the sequence of items on form easy to follow?
2. Does it make sense from first question right on down to last one?
3. Is the amount of writing or printing reduced to minimum?
4. Does the spacing meet the normal writing machine, like typewriter?
5. Is design set up to fit available binders or filing equipment?
6. Does design simplify identification, distribution and control?
7. Is it spaced economically on form?
8. Does it give proper visible effect.

We define obsolete form as any form that was revised. In the last 9 years about 14 thousand forms have been obsoleted and destroyed. As a final step in that

field we listed all those that were obsoleted and a notice was sent to stocking point so that they could clear them out to provide space in the warehouses for other items.

As I mentioned before the Forms Management Program is a lot more than control. The whole thing is strictly a selling job.

The last speaker on the program was Mrs. Sylvia Czayo, Forms Analyst for the Rural Electrification Administration, who spoke on the forms management program in the REA.

Mrs. Czayo stated that REA was born in 1939 and the forms program began from that moment. In 1950 she was hired as a Varitype Operator in the Administrative Services Division. There was no attempt to manage or standardize forms. At that time all that was required was to copy work as submitted. The official forms records were maintained in a very hap-hazard manner and the total number of forms in use could not be determined from these records. Numbers were duplicated to such an extent they lost all meaning. Too much time was wasted searching for forms. Instructions had never been issued on disposition of obsolete forms. Not only were the forms stocked that had not been ordered in years but plates and negatives were still being held thereby utilizing precious storage space. No attempt had been made to clean out the obsolete forms stocked. The first step in organizing a Forms Program is primarily that of Fact-Finding. What do we have to work with? Each Division was requested to inventory their forms whether numbered or unnumbered, form letters, tags, etc. Result of this inventory was 1545 numbered and 200 unnumbered forms, total forms 1950-1745.

The second step in establishing a Forms Program is to notify operating staff what they have to work with. This was accomplished in the form of the REA Forms Catalogue. The Catalogue outlined other forms stocked such as Standard Forms (SF), Agriculture Forms (AD), etc. It explained requisitions necessary in ordering all forms. Instructions were included on preparation of the AD-270 - this has eliminated constant calling on the phone and asking questions as to what to do.

Forms Management was officially recognized in September 1951. Current forms 1954 total 632 - forms eliminated 1,113.

To date all plans have not been fully realized, however, a system has been established and the Forms Management Program is officially recognized.

Mr. Doyle then raised the question as to whether or not the meetings should be dispensed with during the months of June, July and August, due to the fact that so many people would be on vacations during these months. A motion was then made and seconded that the meetings would be dispensed with during the months June, July and August.

The meeting adjourned at 3:00 P. M.

Minutes of Meeting No. 2
USDA Records Management Council
October 13, 1954, 2:00 P.M., Room 124-E

Present:

Mary Lee Butler	- CEA	Allison G. Allen	- FHA
Ruth Grant	- CEA	Gardner Walker	- FHA
Bertha Dunton	- Lib.	Hazel H. Thomas	- Inf.
R. H. Lando	- AMS	Francis M. Cerrito	- B&F
Paul C. Wirth	- ARS	M. J. Gross	- B&F
Edna E. Bushong	- ARS	W. T. Luman	- P&O
Maude H. Miller	- ARS	Mildred Farrow	- FCS
J. W. Arnett	- ARS	Dorathea E. Wallner	- REA
Gertrude M. Cunningham	- ARS	Joseph K. Allison	- REA
Nira O. Smith	- AMS	William Hillenbrand	- AMS
James H. Hopkins	- AMS	Virginia W. Jackson	- P&O
Nuel Hurtick	- SCS	Gilbert E. Lewis	- SCS
Oneta Smith	- FAS	G. J. Leahy	- SCS
R. B. Heenan	- SCS	J. E. Powell	- FS
Donald J. Simon	- P&O	Craig Bakie	- FS
Felton E. Robey	- FCA	Howard Hayden	- FS

Due to the absence of the Chairman, the regular monthly meeting of the USDA Records Management Council was called to order by the Vice Chairman, Mr. Howard Hayden of Forest Service. Mr. Hayden stated that if there were no additions or corrections to be made in the minutes of the last meeting they would stand approved as written.

The meeting was then turned over to Mr. Herman R. Friis, Chief Archivist of the National Archives and Records Service Cartographic Records Branch, who spoke on the new General Records Schedule No. 17, Cartographic, Photogrammetric, and Related Records.

Mr. Friis first passed out copies of General Records Schedule No. 17 but asked that they be returned to him at end of meeting as they were not officially out yet and copies would be made available through regular channels a little later on.

Mr. Friis stated that a map is not just an item to include in a book as illustrative material, but feel that a map has a definite purpose. Stated very simply, cartographic records are maps. As such they fall into two principal groups: (1) those that are an attempt by man, on the basis of field surveys, to delineate accurately on a plane surface, through the medium of colors, symbols, conventional lines and the like corresponding selected elements of the physical and cultural landscapes in the precise geometric relationship in which they appear on the idential portion of the earth's surface. A topographic map and a hydrographic chart are excellent examples of such an attempt; and (2) those that are an attempt by man to delineate accurately on a plane surface selected subjects essentially of a descriptive, statistical and other than field survey origin. A map showing the distribution of linguistic types and a cartogram or diagrammatic map showing statistical data distributed by area are good examples of this type. In addition,

cartographic records include globes, physiographic diagrams, geological maps, weather maps, third-dimensional forms (such as plaster, Vinylite, sponge-rubber and similar relief models), and photomaps.

Mr. Friis then briefly traced the history of the Branch in the National Archives responsible for cartographic records. This is now called the Cartographic Records Branch and in addition to being responsible for the appraisal and accessioning or disposal of the official cartographic records of the Federal Government as they are offered to the National Archives, assists agencies in the preparation of disposal schedules and lists covering cartographic records in their custody. Aerial photography for mapping purposes, survey field notebooks, field observations of a geodetic nature, and the official papers pertaining to the individual map projects are records that concern this Branch. The quantity of these records almost defies imagination. This is particularly so for the period since World War I. A more detailed listing and description of each of the principal kinds of records involved in the work of this Branch will be seen by looking over General Records Schedule No. 17.

In preparing the cartographic record, man may use a considerable number of different sources and techniques, depending upon the purpose for which the subject map is intended. It may include detailed surveys of the land or water surface, a mathematically precise determination of the metes and bounds, and in addition a vast amount of research may be required to include such subjects as the kind of transport facilities available, the different kinds of power lines, the size and location of selected man-made features, the land-use patterns, soil types and their distribution and a host of other mappable subjects. A map also may be one prepared not on the basis of field surveys but rather as a product of office or library research. Such maps often are based on statistical or descriptive information and may be relatively simple. One primary source used in the compilation of modern, large scale topographic map is the aerial photograph. This medium, when expressly produced or used in the making of a map becomes a source and, therefore, its record character must be appraised primarily on the basis of use and content and not on its physical nature, as is so often done.

Mr. Friis then stated that the first part of the General Records Schedule No. 17 has to do with Cartographic Records as such, the second part the Photogrammetric Records, and the third part the Related Records. In the first column the item is described and in right column authorized distribution. He then went over the different items and explained them briefly.

The meeting adjourned at 3:00 P.M.

Excerpts from talk given by
Mr. James G. Osborne, FS, at meeting of
USDA Records Management Council, November 10, 1954

The Forest Service is a decentralized organization. It has the Washington Office and 9 continental U. S. regions and a 10th region in Alaska, and also a tropical region. The northeast region reaches from Maine to Kentucky; central region goes from North Dakota to Ohio and over to Missouri, etc. In each region there are a number of National Forests. California, Region 5, has 18 National Forests. Others from 6 to 15 National Forests. Each has a Supervisor's Office and several ranger districts. So you see sampling field records for the Forest Service presented a direct problem, but one involving several facets because of the differences in sources of information and the status of the presample data available. Our method of sampling would depend upon the status of records in the field. Letters were sent out to the field asking two questions: (1) Whether the 1953 records were actual inventories, and (2) Whether those records were still available. We found all but two regions had done the job by actual inventory. Region 5, in California, had only estimates and Region 7 had inventoried half of the forests and estimated for the others. A 25 percent sample was made of the National Forests in those regions which had 1953 figures and 25 percent sample of Research Centers that had 1953 figures. In Region 5 and the part of Region 7 where the forests were not inventoried in 1953, one-third of the forests were included in the sample. Here the sampling errors are large, percentagewise, but of no real consequence nationally. The six forests in California yielded a sampling error of 12.9 percent, or 82 cubic feet for the estimate for the 18 forests. Similarly, one-fourth of the Research Centers with 1953 records and one-third of the LU Projects also were included. Region 8 came in with a complete tally. They were working with GSA and they had a complete tally in connection with this work. Actually, we do have 100 percent coverage of Alaska and Puerto Rico and 100 percent coverage for regional offices.

The chart exhibited showed the relationship of 1954 to 1953 volume of the 24 National Forests in the sample. The ratio 1.025 is within sampling error of 1 and shows no significant change in the average. An analysis was made which showed that the regions were relatively uniform in their rate of change, hence a single factor could be used.

The table below shows the estimated (or measured) volumes of records and the sampling variance.

Location of Records	Quantity	Percent Sample	Sampling Variance (SD)
1/	54,563	100	0
NF 2/	24,868	25	556,575
NF 3/	9,059	33	729,729
LUP	908	33	19,552
Res. Center 4/	1,697	33	31,540
Res. Center 5/	443	25	493
	91,538		1,337,889

SE = 1157 = 1.26%

1/ 100% Sample includes
W.O., All R.O's, Complete Region 8, Tr. & Ala.,
all Exp. Sta. and FPL, LUP's in 4 regions,
EPQ & BPI centers, California Res. Cen., + Missoula
Res. Cen.

2/ Region with 1953 NF Records (Incl. part of R-7)

3/ Region without 1953 NF Records (Incl. rest of R-7)

4/ Res. Cen. without 1953 records

5/ Res. Cen. with 1953 records

Excerpts from talk given by
Mr. Peter J. Doyle, P&O, at meeting of
USDA Records Management Council, November 10, 1954

HOW REVIEW LOCATIONS WERE SELECTED. It would cost too much to travel about from city to city in order to inspect various levels of the same agency. It saves traveling expenses to review all or as many agencies in one city as possible.

On the trip I made I did not get down to reviewing county offices. However, we will be reviewing county offices and other small offices on future reviews. We think that it's important to review the small offices, because the conditions a reviewer finds in them may very well be a true gauge of the effectiveness and skill of the records management people at the agency headquarters. I don't say it always will be such a gauge, but it may.

Lack of time kept me from reviewing all of the USDA offices in each city that I went to, so I had to make choices based on the size of the station and the amount of time I had available. I went to Missoula, Montana; Seattle, Washington; and Portland, Oregon.

ACCOMPANIMENT BY AGENCY EMPLOYEES. No agency man went with me on my review trip, although I would have been glad to have had some company on the trip. Mr. Paul Wirth, Records Officer for ARS, will go along with Don Simon when he goes on his review trip in the near future. I think that the reviewer will get his job done faster if an agency headquarter's man went along with him. I also think that the agency records man will learn a lot, too. The reviewer will profit because the agency man can explain what the reviewer is doing and why he is there at all. The agency records man will profit because you can always learn more by taking a look for yourself.

BEGINNING THE REVIEW. At one large field office the administrative services man called together people from each Division and explained to them what the review was all about and told them that I would be around to see them. At this station, I was accompanied at all times by the administrative services employee who was responsible for records management at that station. This was good for me and helpful to her, because she later told me that she had learned plenty about her station that she didn't know before. We also turned up a few groups of records which were previously reported as lost. She said that the review was well worth the time she had given to it, although records management was not her only responsibility.

In another station of about 15 employees, the chief of the station went around and showed me all the records and told me all that I needed to know about them. This was in contrast with many offices that I've been to, both on this review and elsewhere, where the station or Division chief sometimes seemed a little proud that he didn't know anything about the way his records were kept; he said his secretary knew more about the records than he did. I can't figure out what this is to be proud of. Quite often the secretaries in those offices knew just as little about the records as their bosses did.

At another large station where records management was something that never had been heard of, the secretary to the administrative services officer took me from division to division and introduced me, but she did not stay along with me. So she lost an opportunity to learn something about a responsibility that sooner or later her office is going to have to accept.

METHOD OF PROCEDURE. At each place reviewed I told the station chief, the administrative services man, the division chief, office secretaries, and anybody else who was interested that I wanted to see all the records, meaning those in office space, the attic, and the basement. I also wanted to see shelf lists of the records that had been sent to the Federal Records Centers.

LOOKING AT FILES. I looked into about every second file drawer, except for instances in which there was a large bank of drawers containing the same kinds of records, such as contracts or alphabetical case files.

FILE EQUIPMENT. I made notes on the types of file equipment and the condition it was in. Most of the filing equipment was modern steel file cases, although there was a good percentage of wooden file cabinets. I also saw such oddities as upright document files, about 4" wide x 9" high, for papers that first had to be folded. There was also one cabinet for filing papers flat, the drawers being 3" high x 9" wide. There were many of the old two-piece paper boxes with binder rings in them at one station.

FOLDERS AND GUIDES. I made notes of the types of folders used and also the kinds of guide cards. Sometimes there were several kinds of paper stock and cuts of folders in the same drawer. Some offices seemed fond of accoing papers into folders, and this was for correspondence as well as for case files.

One office used kraft and red jute folders inside of which they had put two or three manila folders and then had papers accoed into the manila folders.

Some files had far more guides than were needed. Yet, in one large office, there were many drawers of case folders filed alphabetically or numerically, with only one guide card for the entire drawer.

EQUIPMENT MANAGEMENT. I made notes on how the equipment was being managed. In some offices there were transfiles holding current records in office space, while at the same time good metal file cases were in storage rooms being used to hold closed-out records. Altogether, far too many good, reusable file cabinets were being used to store dead records.

STORAGE OF NON-RECORD MATERIALS. A fairly high percentage of file drawers in good metal file cabinets was being used to store blank forms, administrative issuances, supplies and some property items. In one station, this use accounted for 25 percent of all available file drawers. Supply cabinets must be scarce items out in the field. I did not see any office which followed the GSA practice of storing closed records on shelving and in corrugated boxes.

AGE OF RECORDS. I made notes on how old the records were. In some places I could tell whether the office was behind on disposition. This was true of the records you would find listed in general records schedules. Sometimes I knew enough of agency disposition schedules to tell whether the program records were being retained too long. Nearly all stations that I visited had small or large quantities of over-age records on hand. One station was keeping reader files dated in the 1920's. In general, the stations felt no urgency about getting over-age records out of good, reusable filing equipment and office space. It was something that could wait, and was waiting.

FILE SCHEMES. I made notes on the file schemes being used. I noticed a decimal scheme in one office and a home-made subject filing scheme in another place. I had previously thought that both of the agencies represented by these stations had installed the subject-numeric system uniformly down to their lowest field levels. Incidentally, those stations using the subject-numeric system were well satisfied with it.

FEDERAL RECORDS CENTERS. I asked each station visited whether it was making use of the Federal Records Centers. For those that were using them, I looked over the shelf lists in order to spot over-age records. One station had sent to the Federal Records Center copies of the Federal Register for the years 1945-1951. Most of the stations reviewed were making some use of the Federal Records Centers. Two stations were completely opposed to the idea of using records centers. Those which were using the centers thought that the centers were doing a good job and were well worthwhile. One of the stations which were not using the centers asked why the GSA had put all the centers in target areas. It was a good question and I didn't have the answer for it. I'm not sure that GSA has a good answer for this question, either.

REASON FOR NOTES. The reason I made so many notes about so many things was that I wanted to bring back a good picture of the records situation at each office reviewed. I didn't want to rely on my memory for this, so I scribbled about 200 pages of notes, many of them concerning minor details.

QUESTIONNAIRE. After taking a look at all the records, I asked a series of questions at each station of the person responsible for records management. Jane has given each of you a copy of this questionnaire. It developed a lot of useful information for us, much of it being the kind of stuff not apparent to someone who only looked at the records. One thing I learned from the questionnaire was that some stations had the practice of date-stamping 100 percent of their incoming mail. Another thing was that some of the stations were making quite a few carbon copies of their outgoing letters. There were a few other similar interesting things I learned from the questionnaire.

FINAL MEETING. At the conclusion of each review I talked with the person responsible for records management at the station. During this talk I made general comments on the operation of the Records Management Program at the station. These comments included what looked good to me as well as those

things which did not look good. I also brought up specific points, as many of them as I could remember, considering all the notes I had made. But, of course, my talk was not a substitute for a written report, which will be made to the agency headquarters for each station reviewed. I am now in process of writing the reviews. We are going to send agency headquarters two copies of each review report, one for its use and one for forwarding to the field station reviewed.

LOAN OF NOTES. I will be glad to lend my notes to any agency records management officer who wants to borrow them. This has already been done by one agency, the Soil Conservation Service. Bob Heenan wanted to read my notes inasmuch as he or Nuel Hurtick will soon visit an SCS State Office that I reviewed. The notes will give them an idea of what needs to be disposed of at that particular State Office.

TIME NEEDED FOR REVIEWS. You might be wondering just how long it took to review an office. There is no direct relationship between the time needed to carry on a review and the amount of records holdings in the office reviewed. The amount of time used in reviewing depended more on the variety of subject matter of the records than it did on the volume of the records. One station with 1200 cubic feet of records on hand took only $1\frac{1}{2}$ days to review. This was because most of the records were case files of essentially the same type. Another station with 80 cubic feet of records on hand took me half a day. The reason for this was partly due to the variety of the subject matter; it was also partly due to the almost complete lack of knowledge of records management matters in that small office. I spent quite a bit of time explaining to the office secretary just which common-service records covered by the General Records Schedules she could dispose of.

GENERAL RECORDS SCHEDULES. The field stations that I visited (and there were twelve of them) were not well acquainted with the General Records Schedules and were not using them. Those who were disposing of their common-service records were relying on previously-developed agency records schedules, rather than the General Records Schedules.

LEDGERS & JOURNALS. Several field stations complained about the USDA requirement that general ledgers, allotment ledgers, journals, and subsidiary accounting books have to be retained permanently. As we know, General Records Schedule No. 7 provides for a ten-year retention period on general and allotment ledgers, and a four-year retention period on posting and control media subsidiary to the general and allotment ledgers. As we also know, the Office of Budget and Finance requires that these records be retained on a permanent basis. Perhaps next month we can get someone from the Office of Budget and Finance to talk to us on the subject of the exceptions that B&F has taken to the General Records Schedules.

PAY RECORDS. Several of the offices that I reviewed were spending a lot of time searching pay records to provide service record information to the Civil Service Commission and to others. They were having to do this because they had

not sent their earnings record card of individual employees to the Federal Personnel Records Center at St. Louis. These offices were not even aware that they should send their pay records to St. Louis, and they didn't know that St. Louis was the proper place to be digging up old pay records. They thought that the St. Louis Center handled official personnel folders only. One office estimated that it had spent nearly half a man year in the last fiscal year in searching old pay records that they were keeping in their closed files. Another office had been in the habit of microfilming its individual earning record cards and then tossing the cards into the waste basket. Its Washington Office had got wind of this in the last year or so and put a stop to it.

RECORDS CREATION. I paid very little attention to records creation control programs in my reviews. The reason for this was that reports management, correspondence management, directives management, and forms management are virtually unheard of things in the field. As we know, they are not yet very well known and generally accepted techniques here in Washington, either. I did ask a few questions on records creation controls as part of my routine at each station. Of course, many field stations are too small to have such programs, since they have imposed on them from above most of the paperwork routines that they follow in carrying out their missions.

SMALL OFFICES. Generally, the smaller offices that I visited are just not acquainted with good records keeping and disposal practices. The term "records management" means nothing to them, except perhaps a fancy title for filing, as one office said to me.

However, I don't think that any office is too small to keep its records neatly and orderly, so that they can be referred to when needed. Also, I don't think any office is too small to dispose of unneeded records when they should be tossed away. Some of the small offices that I visited were lagging on both counts of records maintenance and disposition. Some offices did not realize that their records were not being well kept. But those in which disposal was behind schedule said that they were simply too busy doing other jobs; for them, records disposal was low man on the totem pole and came last. I suggested to a couple of these small offices that if they spent as little as an hour a week on disposing of old records, it would be sufficient to bring their disposition up to date. It's possible to do a lot of things, provided that the will to do them exists.

HELP FROM HEADQUARTERS. I got the feeling that the field stations don't seem to be getting enough guidance from their agency headquarters or their intermediate agency offices responsible for records management. I think that there should be more visits to field stations by agency records management personnel, both to provide help and advice and to review field office performance in records matters. I think that there should be encouragement for operators to write letters to their agency records people, asking for advice and information on specific things. I believe that there should be made available to the smaller field offices more printed guidelines and information, written so that they will be understandable to people for whom records are only a part-time

responsibility. I know that all of these things cost money, but I am only thinking out loud on what I believe would be the ideal condition prevailing for a good Records Management Program in every agency.

VALUE OF REVIEWS. It seems to me that one of the best features of the Records Management Review Program is that it provides a good chance to see how well the agency records management officer in Washington is getting his program out to the field offices, including the smallest ones.

The reviews I made changed some of my previously-held notions on how well records management ideas were being percolated down to the unit offices. To sum it up, I feel that not enough information on records management affairs is being passed out to the field. Secondly, I don't think there is enough personal contact between agency records people and their field offices. Thirdly, I think that my own Division, Records Administration, needs to be doing more in the gathering and distribution of useful information on records management to the Department.

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Minutes of Meeting No. 3
USDA Records Management Council
November 10, 1954, 2:00 P.M., Room 331-W

Present:

J. G. Osborne	- FS	Nira O. Smith	- AMS
W. T. Luman	- P&O	J. W. Arnett	- ARS
Craig Bakie	- FS	Gertrude M. Cunningham	- ARS
Allison G. Allen	- FHA	Pearl Rupert	- ARS
Howard Hayden	- FS	Russell L. Paxton	- CSS
Felton E. Robey	- FCA	Peter J. Doyle	- P&O
Ruth Donovan	- FAS	C. G. Christianson	- CSS
Nuel Hurtick	- SCS	Dorathea E. Wallner	- REA
Paul C. Wirth	- ARS	Joseph K. Allison	- REA
Charles D. Barrick	- ARS	Hazel H. Thomas	- Inf.
H. Rawcliffe	- CSS	Joseph Weeks	- ACPS
Mildred K. O'Brien	- ARS	R. H. Lando	- AMS
L. E. Roberts	- Sol.	James H. Hopkins	- AMS
M. L. Butler	- CEA	E. S. Thompson	- AMS
Frances Debnam	- ARS	W. Hillenbrand	- AMS
Evelyn K. Hale	- AMS	Elmo B. Bryan	- B&F

The regular meeting of the USDA Records Management Council was called to order by the Chairman, Mr. Carl G. Christianson.

Mr. Christianson introduced a new member of the Records Management Council, Mr. Nuel Hurtick of the Soil Conservation Service.

The first speaker on the program was Mr. James G. Osborne, Statistical Analyst of the Forest Service. Excerpts from Mr. Osborne's speech are attached hereto.

The last speaker on the program was Mr. Peter J. Doyle of the Records Administration Division. Mr. Doyle spoke on his experience in conducting the first records management review at the field stations of the Department. Excerpts from Mr. Doyle's speech are attached also.

The meeting adjourned at 3:00 P.M.

Attachments-2

Minutes of Meeting No. 4
USDA Records Management Council
December 8, 1954, 2:00 P.M., Room 331-W

Present:

Joseph Weeks	ACPS	C. G. Christianson	CSS
R. W. Everett, Jr.	AMS	J. L. Talbert	CSS
Wayne D. Rasmussen	AMS	Russell L. Paxton	CSS
Nira O. Smith	AMS	LeRoy T. Milbourn	FHA
Evelyn K. Hale	AMS	Charles V. Trowbridge	FCIC
R. H. Lando	AMS	Craig Bakie	FS
William Hillenbrand	AMS	Howard Hayden	FS
E. E. Bushong	ARS	Thomas R. Pacl	FS
Paul C. Wirth	ARS	Hazel H. Thomas	Inf.
Maude H. Miller	ARS	Bertha E. Dunton	Lib.
Gertrude Cunningham	ARS	W. T. Luman	P&O
Pearl P. Rupert	ARS	V. W. Jackson	P&O
J. W. Arnett	ARS	Donald J. Simon	P&O
Mildred K. O'Brien	ARS	Peter J. Doyle	P&O
Frances O. Debnam	ARS	Margaret Schneider	P&O
J. P. Loftus	B&F	Joseph K. Allison	REA
C. I. Jenkins	B&F	Dorathea E. Wallner	REA
D. L. Myers	B&F	L. E. Roberts	Sol.
E. B. Bryan	B&F	Allison G. Allen	FHA
Mary Lee Butler	CEA		

The regular monthly meeting of the USDA Records Management Council was called to order by the Chairman, Mr. Carl G. Christianson, at 2:00 P.M.

Mr. Christianson then introduced Dr. Wayne D. Rasmussen, Agricultural Historian, who spoke on the work of the Statistical and Historical Research Branch, Agricultural Economics Division, Agricultural Marketing Service. Excerpts from Dr. Rasmussen's speech are attached hereto.

The remainder of the meeting consisted of a round table discussion of the exceptions taken to the General Records Schedules by the Office of Budget and Finance. Representing the Office was Mr. Charles I. Jenkins, Chief, Division of Accounting and Audit and Mr. Dwight L. Myers, Assistant Chief.

Mr. Myers stated that B&F is just as anxious as the people are in records management to destroy records that can be destroyed; however, they always want to be sure that they don't destroy and then later on wish that they hadn't. Basically, that is the reason they took the action that they did in making certain exceptions to the General Records Schedules.

Q. In Item No. 4, Schedule 7, Page 2, in your recommendation for posting and controlling media - most of our accounting work is done with IBM machines, and a lot of IBM cards we use become more or less work papers. A 4-year retention period is authorized in Schedule 7 but in

your Division you are asking that they be retained. A tremendous amount of space is taken up by these and they are of no use to us following posting of original documents to ledger.

A. These IBM cards have certain information and are used as posting media. There is nothing in the General Ledger that indicates in any degree of detail what is on an IBM card. What you should have would be a journal voucher. That voucher will have attached to it documents which show in detail what went into the ledger. I have discussed this with GAO and they have said and we are inclined to agree that the general ledger itself does not tell you anything. You cannot look at it and get the information you need. Do you have any reports or any statistical data that would reflect what is on the cards? If you have that and then if the information could be taken from the cards, then certainly the cards could be destroyed.

That is a Fiscal operation and I am not to familiar with it and I can't answer that question.

Q. In AMS they have a decentralized obligations reporting system under which they are required to maintain a monthly report on obligations. That report involves maintenance of various types of working papers. Would that be considered subsidiary records?

A. That would not be considered a subsidiary record.

Q. Referring to Item 1, Schedule 5, when is a Budget Office a Budget Office? What level do we go down to?

A. National level. We ask that budget records be retained at National level so that for any question that Congress may ask we would have the information available.

Going back to Item No. 4, Schedule 7: The general ledger is just a summarization of what went into the allotment ledger. If you had prepared reports and planned to keep them permanently and they reflect the data that would be found in allotment ledger or general ledger, then you can destroy the allotment ledger, general ledger and journal voucher.

You identify the records and we will prove your statement. We go back and see what the fiscal people say. Too many papers to me may be supporting documents in one agency which may not be in another. It doesn't make any difference to us whether the data may be needed at a later date, whether it can be taken from general ledger, etc., or whether taken from a statistical statement that has been prepared from those records; if you keep those you can destroy these other supporting records we have been talking about. It all depends on individual agencies.

Excerpts from talk given by
Dr. Wayne D. Rasmussen, AMS, at meeting of
USDA Records Management Council, December 8, 1954

I thought, perhaps, the group might be interested in a brief talk on why records were so important to us in historical work. Our history unit, totaling four persons, is engaged in answering requests for information and in research. We have all kinds of requests, such as when was Turkey Red Wheat introduced in Kansas? What factors influenced the value of Indian lands? We have some files and bibliographic index which enables us to be of service on inquiries. We cannot carry great masses of information in our heads but we do try to know where we can find out our answers. We come around and ask you folks about reports, etc. However, our main use of records comes under the second part - research. We depend upon records for which you people are responsible. Many people think of history as something happening a long time ago - I think of it as rather looking at how we got where we are today. The events of American history are recent when you consider how long man has been in this world.

I would like to show you examples of some types of work we do. We depend upon Archives and of Congress for some of our information and also upon the Manuscripts Division of the Library of Congress. When we are working on something like this study entitled Jefferson and Agriculture we are not necessarily concerned with current files. During World War II we started a War Records Project. In it we documented some of the things going on at the time. Some of our Commodity Specialists did some of the work and I know a lot of you folks contributed towards this monograph on meat as well as to the other studies. We did the history of the Emergency Farm Labor Supply Program in the history unit. The Farm Labor Office was going out of business when I started in on it but the documents were readily available. In addition, the person in charge of files, Mrs. Solberg, was very anxious to help us make the complete study, It is through such cooperation as that, that we are able to come up with figures on the number of foreign workers that came into the country, for example. We also had help from the people in Extension Service. When we are working on detailed accounts we like to have a look at the records before they go to Archives. I am sure that you folks and Dr. Kulsrud and his staff do a good job of that. It is just impossible for us to look at all the records before going over there.

We have been directed to do a rather full-dress study of price support programs of the Department. That will be a project which will take 2 or 3 years. In general then, our work falls into two groups - answering inquiries and doing special studies. We try to keep track of the over-all phases of the history of the Department.

Q. Have you found the Precedent Index of much help to you?

A. Of greatest help when we have to answer particular questions. When we are doing a research study it is of comparatively little value.

Q. Do you just rely on the judgment of Archives as to what to keep and what to dispose of?

A. With a total of four people we just couldn't do anything else.

Q. Do you think it is strange that no complete history has been written of Agriculture?

A. There have been various little summaries written but it would be a project which would require considerable time, and then there is such a tremendous amount of material to be gathered that it would require cooperation of a great many technicians. I doubt if it will ever be done.

Q. Don't you find the Year Book that has been put out year after year of some value in your work?

A. Of great value. We have a file of Year Books since 1900 and look at them just about every day.

Minutes of Meeting No. 7
USDA Records Management Council
March 9, 1955, 2:00 P.M., Room 1605-S

Present:

William H. Hillenbrand	- AMS	Carl Valladores	- FCS
Nira O. Smith	- AMS	Harold D. Walker	- FCS
Charles D. Barrick	- ARS	Allison G. Allen	- FHA
J. W. Arnett	- ARS	LeRoy Milbourn	- FHA
B. G. Spille	- ARS	Gardner Walker	- FHA
Edna E. Bushong	- ARS	Felton E. Robey	- FCA
Frances Debnam	- ARS	Charles V. Trowbridge	- FCIC
Gertrude Cunningham	- ARS	Van O. Milton	- FES
Paul C. Wirth	- ARS	Ruth Donovan	- FAS
Maude H. Miller	- ARS	Craig Bakie	- FS
G. Howard Sears	- B&F	Howard Hayden	- FS
E. B. Bryan	- B&F	Hazel H. Thomas	- Inf.
Mary Lee Butler	- CEA	Bertha Dunton	- Lib.
Doris E. Wood	- CEA	Peter J. Doyle	- P&O
Carl G. Christianson	- CSS	James H. Austin	- P&O
William P. Jones	- CSS	William T. Luman	- P&O
J. L. Talbert	- CSS	Donald J. Simon	- P&O
Russell L. Paxton	- CSS	Dorathea Wallner	- REA
H. Rawcliffe	- CSS	Nuel Hurtick	- SCS
Mildred Farrow	- FCS		

The regular monthly meeting of the USDA Records Management Council was called to order by the Chairman, Mr. Carl G. Christianson, at 2:00 P.M.

Mr. Christianson stated that the first half of the meeting would be devoted to the annual election of officers and the second half would consist of a showing of a film on Army Records Administration - the only one on records management in the Federal Government.

Mr. Christianson further stated that at the last meeting two proposals were made to amend the by-laws and thought that it would be the wishes of the members to vote on those today. The one had to do with Article 11, Amending of By-Laws. When the by-laws were originally written there were 26 agencies represented on the Council and a quorum existed when there were 14 or more agencies represented by Council members or their alternates. It was moved that the by-laws be amended to read that a quorum would exist when 11 were present.

Mr. Talbert stated that when the by-laws were written up there were 26 agencies and now there are 19 and sometime that number may change again. Instead of changing the by-laws every time the Department changes, why couldn't we put the quorum on a percentage basis? A motion was made and carried that the by-laws be changed to read that a quorum shall exist when at least 51 percent of the agencies are represented.

The second proposal was with regard to Article 13, Elections. It was suggested that Article 13 be changed so that the election of officers would be held each year in May which is the last meeting held before the adjournment for the summer months, June, July and August. The officers would then take over at the next meeting which would be held in September. A motion was made and carried that Article 13 be changed accordingly.

Ballots were then distributed and prior to the actual voting for officers, Mr. Christianson asked for nominations from the floor. The ballots were then counted and tabulated with the following results:

R. W. Everett (AMS) -- Chairman (To serve for 1 year)
Paul C. Wirth (ARS) -- Vice-Chairman (To serve for 1 year)

Steering Committee

Elmo B. Bryan (B&F) -- (To serve for 2 years)
Nuel Hurtick (SCS) -- (To serve for 2 years)

Mr. Joseph Loftus, B&F, and Miss Dorathea Wallner, REA, will continue to serve on the Steering Committee for one more year. Mr. P. J. Doyle, P&O, will continue to represent the Records Administration Division on the Steering Committee.

Mr. Luman stated that the Hoover Task Force has a report out on Paperwork Management. If you have not seen it, he thinks you should get a copy and read it. It is on sale by the Superintendent of Documents for 30 cents a copy, or if you just want to borrow one he could loan you a copy.

The last half of the meeting consisted of the showing of the movie, "Army Records Administration." This movie is a part of the records management orientation program of the Army. It may be borrowed by members of the Records Council for showing to their own agency personnel.

Meeting adjourned at 3:00 p.m.

Minutes of USDA Records Management Council Meeting
held on September 14, 1955, at 2:00 P.M., in Room 124-E

Present:

R. W. Everett, Jr.	AMS	Russell L. Paxton	CSS
Robert H. Lando	AMS	James L. Talbert	CSS
Nira O. Smith	AMS	Harold D. Walker	FCS
William H. Hillenbrand	AMS	Felton E. Robey	FCA
Clarke A. Paulsen	AMS	Allison G. Allen	FHA
James H. Hopkins	AMS	Charles V. Trowbridge	FCIC
Edna E. Bushong	ARS	Van O. Milton	FES
Charles D. Barrick	ARS	Craig Bakie	FS
Gertrude Cunningham	ARS	Hazel H. Thomas	Inf.
Frances O. Debnam	ARS	Lyree Magruder	Lib.
Maude H. Miller	ARS	James L. Miller	OGC
Mildred K. O'Brien	ARS	Leland E. Roberts	OGC
Pearl P. Rupert	ARS	James H. Austin	P&O
Paul C. Wirth	ARS	Peter J. Doyle	P&O
Elmo B. Bryan	B&F	William T. Luman	P&O
J. P. Loftus	B&F	Donald J. Simon	P&O
Jerry Miles	B&F	Virginia W. Thatcher	P&O
C. F. Stover	B&F	Dorathea Wallner	REA
M. L. Butler	CEA	Robert B. Heenan	SCS
Carl G. Christianson	CSS	Nuel Hurtick	SCS
William P. Jones	CSS	Ken Hoover	GSA

The first meeting of the USDA Records Management Council for the 1955-56 season was called to order by the Chairman, Mr. R. W. Everett. Mr. Everett opened the meeting by extending thanks to the outgoing Chairman, Vice-Chairman, and members of the Steering Committee for the well conducted programs last year, and introduced the new Vice-Chairman and members of the Steering Committee, and stated that he felt the outgoing members had left a goal for the new officers to strive to attain.

Mr. Everett then introduced Mr. Ken Hoover who formerly was Records Officer for SCS, went from there to the State Department, and is now the Records Officer for internal GSA.

Proceeding with the regular business, the minutes of the former meetings were circulated in advance and there being no changes or corrections, were accepted as written.

First on the program, Mr. W. T. Luman gave a brief resume of the records holdings report for 1955 and also the P&O review program.

Mr. Luman: On the 30th of August, a Summary of Records Holdings for 1955 was sent out and since that time we have done some further work on the individual

reports, combining the percentage points for each agency. One agency disposed of 43% of its records. Think it is very commendable. Also, at the other end, only 1% of records was disposed of last year by one agency. That was a very poor percentage and that agency should look into its disposition program very soon and come up with a larger figure for this coming year. A couple more percentages were quite low. The disposition program all in all was very good. If you find that your percentage was 7 or below, you should look into the disposition. The second high was 24%, the third was 22%, and ranged from that down to 1.

One year ago today, I told this group what the plan in the records management field was for the current year and subsequent years. At that meeting I also told about the review program and gave out copies of the procedure to be followed in our reviews. Since that time, the Records Analysts have been out in the field and have gone to 15 cities where agricultural offices are centered and visited 64 offices in those cities. We are very pleased with the records review program up to the present and believe it is very good. We are also pleased with the receptions we have received. We know that the Records Officers are responsible for those receptions because the Records Administration Division notifies the agencies that we are going out and you notify the field offices that we are coming. They know that we are out there for the purposes of helping them. We don't go into an office to find fault with their records management program. For every finding we make, we also make corresponding recommendations and think it is very important. When we find something, we sit down with the agency before we leave and tell them what we think they should do and when we come back to Washington we write out the findings and recommendations.

We are planning our third review in October. Mrs. Thatcher is going out first to Kansas City, Missouri and Des Moines, Iowa. Mr. Doyle will go to Albuquerque, New Mexico and Phoenix, Arizona. Mr. Simon is going to Ft. Worth, Dallas, and side trips to Temple and College Station, Texas. I could say a lot more about the review program but think you all know the purpose of it and some of the accomplishments that we have made thus far. I might say in conclusion that all of our reviewing is not going to be done in the field. Next spring, or latest next fall, we will be reviewing some of our Washington offices, particularly those who do not have field activities. You can expect one of these three Records Analysts to drop into your agency next spring or fall.

Next on the program was a panel discussion on the selection of essential records for emergency relocation sites led by Mr. Simon, Chairman of the Records Subcommittee.

Mr. Simon: Last March the Administrative Assistant Secretary appointed a Records Subcommittee of the Continuity Planning Committee, whose responsibility was to plan and recommend a records system to insure that essential functions of agencies can be effectively operated and both personal and Government interest properly protected during a national emergency.. This committee, when appointed, didn't know where to begin since we knew very little about the defense relocation program. We had several meetings and hoped someone would come up with some good ideas. The purpose was to develop criteria for the identification,

transportation and management of agency records at relocation sites. The first thing we did was to hold several meetings to discuss the memorandum Mr. Roberts issued on March 14. He said at that time the Records Subcommittee, of the Continuity Planning Committee, composed of management specialists would work with the agencies, and it was our job to develop and furnish guidelines and criteria for the transportation and management of agency records at relocation sites. However, each agency was to be responsible for selecting its records to be maintained at these locations. Our first plan was to get out a notice to the agencies and give them guidance regarding the selection of records. On April 6, 1955, we developed a memorandum for Mr. Mangham's signature as Chairman of the Continuity Planning Committee, to agency relocation officers. This outlined briefly what the responsibility of the agencies was and listed the types of reference material that we decided we should have at relocation sites, such as U. S. Codes, Code of Federal Regulations, Department Regulations, GAO Decisions, and similar items. We tried to tell the agencies of the types of records we hoped they would select. After this memorandum had been issued to the agencies, we informed them we would be around to discuss their plans with them.

While we were meeting with the agencies, in between times the committee was meeting quite frequently and we developed a package label used for transporting records to relocation sites, particularly Repoint. The label provides a place for a Department Code Number and this committee has the responsibility of placing that code number on each package. We also had to know the category of the classified material. We had to know how often the material would be rotated, whether monthly, quarterly, or on an annual basis. The records have to be kept current. We also had to develop a procedure to guide the agencies in the identification and transportation of the records. On April 27, we issued a records procedure for Repoint and distributed the package labels. This procedure included a paragraph regarding the selection of records. We cannot select them, that is the agency's responsibility. We do, wherever possible, provide guidance and tell what types of records should be selected. We outlined how to package and label the records for ready use at relocation sites in case of emergency. One paragraph described how to fill out the package label. Our procedure requested the agencies to provide a Master List of all material they send to Repoint and emphasized that it should be kept current and revised every six months. We provided information on storing and arranging of packages at Repoint, telling the agencies how to supplement packages already at Repoint, and information on rotating in order to keep them current.

When the time came for the June test we had quite a selection of records at Repoint, and from all reports, records-wise, we were in pretty good shape. The bulk of records at Repoint are the food records. Agriculture's prime responsibility would be providing food; therefore, most of the records are used by CSS, AMS, ARS, and one or two other agencies. After Operation Alert 1955, we had to make an evaluation report as to the adequacy of the records. It was a very favorable report.

Our future plans will be to provide agencies with an index of all reference type material at Repoint so they won't have to send material which is already there. One of the members of the Continuity Planning Committee asked us to provide a chart showing percentage-wise the status of records at Repoint and how well prepared the agencies are. We are in the process of developing that information. The committee will be coming around to talk to the individual agencies to see how they are progressing.

The balance of the meeting was devoted to questions and answers directed to the panel.

The meeting adjourned at 3:00 p.m.

Minutes of USDA Records Management Council
Held October 12, 1955, in Room 331-W

Present:

R. W. Everett	- AMS	Allison G. Allen	- FHA
Nira O. Smith	- AMS	Charles V. Trowbridge	- FCIC
Robert H. Lando	- AMS	Van O. Milton	- FES
Clarke A. Paulsen	- AMS	Ruth Donovan	- FAS
William H. Hillenbrand	- AMS	Oneta Smith	- FAS
James H. Hopkins	- AMS	Craig Bakie	- FS
Frances Debnam	- ARS	Bertha Dunton	- Lib.
Paul C. Wirth	- ARS	Fred P. Herzer	- OGC
Edna E. Bushong	- ARS	James L. Miller	- OGC
Pearl P. Rupert	- ARS	Donald J. Simon	- P&O
J. P. Loftus	- B&F	Peter J. Doyle	- P&O
Anna Mae Reid	- CEA	Dorathea Wallner	- REA
Felton E. Robey	- FCA	Joseph K. Allison	- REA
Carl Valladores	- FCS	Gilbert E. Lewis	- SCS
Mildred Farrow	- FCS	Nuel Hurtick	- SCS

MR. EVERETT: The meeting will please come to order. Welcome again to another monthly meeting. We are a little late in starting today, possibly some are not here yet because of the change in the location of the meeting.

This afternoon, before we get on with the regular business, I have one or two items I would like to mention. Someone said perhaps we might get more questions if we could relax and have an informal atmosphere. The people may be more apt to ask questions. I for one have attended meetings where the people were a little bit shy about asking questions for they, perhaps, were afraid they would meet with laughter or that they may not get an answer to their questions. Well, you can rest assured that we are not going to have that here. Feel free to ask your questions. If we can't answer them here, I'll make sure you get an answer sooner or later.

I just came back from a meeting of the Interagency Records Administration Conference and there is going to be held the latter part of this month their first annual meeting. I think they are going to have something which will prove very interesting, not only to people in records work but also in O&M and Fiscal. The meeting will be about digital computers and univac machines. There will be movies and maybe actual equipment. It will be a very good show and it is being put on by Remington Rand. Sonner or later IBM will probably have a similar show.

I believe that Mr. Doyle now has an announcement to make.

MR. DOYLE: This past Monday, Don and I went to a luncheon meeting. The topic of that meeting was the new series of job standards. It includes what used to be the Organization and Methods jobs and the Records Management jobs. Originally,

Records Management was in a separate group of standards, but the Civil Service Commission thought it should be combined with Organization and Methods. There were two gentlemen who spoke at that meeting--they were Mr. Trudell and Mr. Jacobson of the Civil Service Commission. Mr. Trudell said that he felt that the work was similar, the methods were similar, and so they decided to put all management advisory jobs in one series. They haven't received all the answers to requests for comments on the draft of management advisory job standards which CSC sent out two or three months ago. Agriculture sent their comments quite a while back. The answers that Mr. Trudell did get he hasn't studied yet. It is anybody's guess when the standards will get out. Personally, I would guess about six months.

MR. LANDO: Was there anything said about the so-called records management series regarding the disposition phase of it?

MR. DOYLE: Yes, he got quite a few comments on disposition and he said he must have had a misunderstanding as to what records disposition is. I feel he will change the final draft so that it will include records disposition jobs.

Mr. Jacobson talked about the difficulty of showing when the jobs should be in one grade or another and giving examples of the level of difficulty in each grade. They were criticized a lot for using the words "difficult" and "moderately difficult" to distinguish grade levels. He said he would appreciate it if someone would make up a set of examples to show when a job should be in a Grade 7 or 9, etc. Of course, no one volunteered. Some comments that he got from the agencies said that the new management advisory series would depress the job levels. Evidently the standards were too high for the job levels given. On the other hand, some wrote in and said that the new series inflated the job levels. He has those two opposing views to consider. Then there were some statements by the people present. O&M people were opposed to including records management jobs in the new series; a Records Management Analyst criticized their thinking.

MR. TROWBRIDGE: Were there any comments on what Agriculture's answer to the draft was?

MR. DOYLE: Mr. Simon made a draft of comments for our Division. He should be able to tell you something about it.

MR. SIMON: I did write up the comments for our Division and I understand that Personnel sent our comments, along with some of their own, in as the Department's comments. We commented that we didn't like the idea of leaving disposal and retirement out of the advisory series. We objected to examples used in the series. We gave a few examples of records work at higher levels, I don't think they had any examples at all. We commented favorably.

MR. EVERETT: The minutes of the last meeting possibly were a little late in getting out. I have received mine and think most of you have received yours. In accordance with past custom, are there any suggested changes or corrections in those minutes? If not, they will be accepted as prepared.

The subject of today's meeting, as you are aware, is how effectively are we reaching the field offices with our records management program. This subject is broad. In fact, we are going to carry it over into the meeting for next month and hear from some of the other agencies that we do not hear from today. Some questions that we might ask are: What type of instructions do we have to have to deal with field offices? How do we communicate these instructions? How effective are the lines of communication? How well are we putting it across to them? What help do we need to give them? How do we follow up? It is a very broad subject and very important. We are first going to hear from Mr. Nuel Hurtick of SCS.

MR. HURTICK: Before we get into the discussion of the effectiveness of the records management program, I think it would be desirable to describe our organization and the lines of communication. The Soil Conservation Service operates as a line organization. We have 1 national, 50 state and territorial offices, some 320 area and about 3100 work unit offices. Generally speaking, our communications go directly and simultaneously to all line officers rather than sifting down from the national to the state to the area to the work unit offices.

During the past year we developed an instructional handbook for use at the area and work unit offices. It is called the Administrative Procedures Manual. It was written in GS-2, 3 and 4 language and was intended as a guide to personnel in the area and work unit offices in discharging business activities within the scope of their operations. It is divided into the activities that are performed there, such as Accidents, Awards Program, Billings, Communications, Employee Conduct, Employment, Job Description, Leave, Performance Ratings, Procurement, Property, Records Management and a few others. There are 17 sections. In making the distribution to the field, we deviated from usual procedures and sent the Manuals through the State Offices to afford those offices an opportunity to supplement the Manual and adapt it to local conditions. The State Offices may supplement the Manual, but they may not alter or modify any of the basic instructions. This does give us rather uniform basic procedures on a nation-wide basis.

The portion of the Manual devoted to records management takes up about 10 pages. It carries a listing of the primary subjects, a brief description of them and the disposal authorities pertaining thereto.

The issuance of instructions and procedures is just a beginning point, no matter how effective your communications system may be or how lucid and well written your instructions are. Some personal follow-up has to be done. Since the reorganization of the Service we have had many people in new jobs. With those we have tried to stimulate and develop leadership in records management activities. The assignment of overall records management activities varies with the size of the state involved. Generally speaking, it is not a full time job. But we do work with the State Administrative Officer and the person to whom records management responsibilities have been assigned.

In addition to discussions, we do make inspections. The Soil Conservation Service has a rather extensive inspection program. In addition to the inspection program

in the national office, the State Offices inspect each area office within the State annually. The inspection of an area office contemplates that one, two, three or four work unit offices within that Area also be inspected.

About 95% of our records in a work unit are disposable. We do have a segment of records, the Farmer-District Agreements, that have retention periods for as long as the agreements are active. That not only could go back to 1939 but in many cases it does. Housekeeping records move rapidly. The schedule provides for the disposal of most of the records one year after the close of the fiscal year in which created. We have not done enough follow-up to determine the extent of compliance. We have seen some that were poor, some good and some excellent. Not all of our disposition is reflected in our reports. We have put on a rather intensive campaign to discard, without filing, of material that we call, for want of a better name, routine telephone conversation messages, such as "Joe, can you meet me on John Doe's farm next Thursday to check a farm pond site." When Joe replies, we hope on the bottom of the incoming note, that the originator tosses the note into the wastebasket. It has served its purpose and that is the end of that. There is no use in cluttering up your files with that kind of material. It saves the writing of one letter and the filing at two locations.

Our divisional Handbook is intended for use in State Offices. The information there is in much more detail. It does assign definite records management responsibilities to line officers, to be performed by members of his staff.

We do not approach records management for the sake of records management. To us records are tools of management and tools the technicians use in performing program functions. The Federal Records Act of 1950 requires us to document the essential transactions of the agency. I am not wont to quibble with a young lady in an area office because she did not classify some material or I might have done. The test is that if she can produce the material that her supervisor wants when she wants it, she is doing a good job. If she asks, I might say that if I had been doing it, I would have done it in this manner, and give her the reasons why.

Mr. Heenan and I have covered quite a number of States. In each of those States we have tried to see records at an area and work unit office. I mentioned before that we have seen some that were poor, some good and some excellent. Since some offices were excellent, we conclude that our instructions are satisfactory and communications effective. One does have to take into consideration the people that are administering the program and the people performing the work. We have undergone a reorganization. I don't know if we are ready to evaluate the effectiveness now or not. While we may be more or less pleased with the results up to now, we are not satisfied that conditions could not be improved on a nationwide basis. We intend to continue vigilant effort in providing a system designed to meet the needs of the Service, to provide proper and adequate documentation, to develop and apply disposal records with the view of decreasing quantity and increasing quality.

MR. EVERETT: Next, I believe Mr. Paul Wirth from ARS is going to tell us what they are doing in his agency.

MR. WIRTH: ARS has approximately 1100 field offices engaged in research, regulatory and control programs. Instructions are issued directly to field stations through an administrative issuance system. While I recognize the need for written instructions, it is my opinion that insofar as records management is concerned, they are not very effective. My experience in administrative services has been that the issuance of instructions does not get the job done unless there is field review to see that procedures are being followed. It is possible to exercise some control after having issued procedures covering procurement, for example, because supplies and equipment must be purchased in order to carry on the program work and as the requisitions come in, it is possible to determine whether or not instructions are being followed. Records management however can be put off until another day and field stations do not bring their problems to you. It is my belief that the records job in the field will only be accomplished through field review, during which we will attempt to offer improvements in filing systems, paperwork management and records disposition by furnishing training and assistance.

On the disposal side of our program, we came up with a pretty good percentage figure for fiscal year 1955, comparing favorably with the Department average. This was due primarily to the work we have done in the Washington area.

We find ourselves in an unenviable position insofar as our field program is concerned. We have been planning since early this year on a decentralization of our function to four regional offices. However, after the decentralization was announced, it was decided that until certain budgetary and other arrangements can be effected, records management will continue to be handled on a centralized basis. We are hopeful that these problems will be solved and our function decentralized with the new fiscal year.

MR. EVERETT: This afternoon we have Mr. Lando from AMS to discuss AMS records management operations. We also have here, Mr. Clarke Paulsen who serves as our Eastern Area Records Officer.

MR. LANDO: AMS is the only agency being heard from today which is fortunate enough to have full time Area Records Officers responsible for installing good records management practices in all field offices in their areas of jurisdiction. Our AMS field offices, numbering approximately 500, are serviced on administrative management matters by three Area Administrative Divisions, serving the Eastern, Central and Western field offices of the AMS. However, on program matters each of the 15 program divisions in AMS having field offices exercises direct line supervision over its field offices. These field offices report directly to the Division Directors concerned on their program operations.

In administrative management there are three administrative management divisions in the Washington offices of the AMS, covering Budget and Finance, Personnel, and Administrative Services matters. In each of our three Area Administrative Divisions, there are Budget and Finance, Personnel, and Administrative Services Branches. The Washington staff offices are responsible for establishing national policies and providing technical direction over Area Administrative Division operations, to insure uniformity in administrative management matters. Records

management is under the Administrative Services Division in Washington, and the Administrative Services Branch in the Area Administrative Divisions.

The Area Records Officers in the Area Administrative Divisions deal directly with the field offices under their jurisdiction and have the responsibility for records management activities in their respective areas. They make regularly scheduled visits to field offices to sell good records management, and to do everything possible to install the best records management procedures practicable to meet national AMS policies and OPO standards. This is a continuing function on the part of the Area Records Officers. At the same time, the Area Records Officers have the job of following up on any OPO records management reviews made in their Areas and to take any necessary action to comply with the reports of these reviews. Basically, then, our records management program is transmitted to our field offices through our Area Records Officers.

We have several formal methods of communicating with field offices in AMS however, in addition to direct contacts by Area Records Officers. These are as follows:

1. The AMS Issuance System - National policies are documented and transmitted to Area Administrative Divisions and field offices through the formal AMS issuance system. In records management for example, those matters having national implications would be transmitted through a formal issuance. We are now in the process of issuing an instruction covering disposition of field office records, and including a disposal schedule covering all administrative management records in our field offices.

2. Area Issuance System - Area Administrative Divisions may issue such supplemental instructions to field offices under their jurisdiction as are deemed necessary -- for example, reminders to field offices to submit annual holdings reports, etc.

3. Division Issuance Systems - Instructions relating to program matters are issued to field offices by Division Directors through their own issuance systems. We frequently issue national divisional records maintenance and disposition procedures covering program records through these divisional issuances.

We have found the OPO records management reviews to be extremely helpful in our program. They provide both the Washington records management personnel and the Area Records Officers great assistance in selling the program. National integrated uniform records maintenance and disposition systems are more easily sold to Division Directors by our Washington staff because of them, and also they assist the Area Records Officers in actually installing the approved records systems in the field offices.

<u>MR. PAULSEN</u>: I would say these offices need the visits of records people. I have yet to go into an office of which I don't find records dating back to the 1920's. The determination hasn't been made as to what should be done. When I go into a field office I confer with the Officer in Charge on what I find

on a review. I make it very strong because I know the P&O people will follow me and see what I have done. As far as the AMS records program is concerned, I think we are very fortunate in that we can get into the field offices and help these people out. If you can talk directly to them they will ask questions but to try to deal through correspondence they will do nothing.

MR. EVERETT: I think since our time is almost up I am going to ask you to keep your questions in mind for this subject is going to be continued at the next meeting and you can ask them then.

The meeting adjourned at 3:00 P.M.

Minutes of USDA Records Management Council
Held November 9, 1955, in Room 331-W

Present:

Clarke A. Paulsen	- AMS	Carl G. Christianson	- CSS
William Hillenbrand	- AMS	James L. Talbert	- CSS
Evelyn K. Hale	- AMS	William P. Jones	- CSS
Robert H. Lando	- AMS	Gardiner Walker	- FHA
Nira O. Smith	- AMS	Oneta Smith	- FAS
Frances Debnam	- ARS	Ruth Donovan	- FAS
Charles D. Barrick	- ARS	Craig Bakie	- FS
Edna E. Bushong	- ARS	Bertha Dunton	- Lib.
Mildred O'Brien	- ARS	Donald J. Simon	- P&O
Maude H. Miller	- ARS	Virginia W. Thatcher	- P&O
Gertrude Cunningham	- ARS	James H. Austin	- P&O
Carl Stover	- B&F	William T. Luman	- P&O
Jerome Miller	- B&F	Dorathea Wallner	- REA
E. B. Bryan	- B&F	Nuel Hurtick	- SCS
Mary Lee Butler	- CEA	R. B. Heenan	- SCS
Harold Rawcliffe	- CSS	Paul Wirth	- ARS

MR. WIRTH: Welcome to the third monthly meeting of the Records Council. Your Chairman, Randy Everett, was suddenly called away from the office on rather urgent business.

Before we start the meeting today I have an announcement I would like to make. Recently, two members in this group had the misfortune to lose members in their immediate families. I refer to Nira Smith and Bill Luman, both of whom lost their fathers. I think I can speak on behalf of the Records Council and tell you, Nira, and you, Bill, you have our heartfelt sympathy.

There is one other matter that I think we ought to bring up at this time. I understand that in previous years we have taken a vote of the membership to determine whether or not we should dispense with the December meeting in view of the fact that so many people are on leave, Christmas shopping, etc. So, I think it might be appropriate at this time to vote on that through a show of hands. How many of you would like to dispense with the December meeting this year? It looks like it is unanimous, so we will dispense with the December meeting.

The minutes of the last meeting have not been distributed, so I believe that we will have to hold that matter over until next meeting.

As you will recall, at the last meeting we had a discussion regarding the effectiveness of records management programs in field offices. We heard from AMS, ARS and SCS at that time. Today, we will hear from CSS and FHA. At the last meeting we almost ran over time so that there wasn't any time left for questions but we think today we will have plenty of time so you may direct

your questions to the people that are speaking today or the people that spoke at the last meeting.

Before we get into the program, however, there is one thing that I would like to mention and that is the fact that this Records Council belongs to all of us. I think that the extent to which good will come of the Council depends entirely upon the participation of its members. I'm speaking now of questions. We present these various topics that are for everybody's benefit, we all learn. I would like to have more direct participation in these questions. Now, before we get into the program, are there any announcements? Well, if there are none, we will now call upon Jim Talbert of CSS to tell us something about his program in the field.

MR. TALBERT: Thank you Mr. Chairman. Mr. Jones will actually give you all the details on the program. As you know, we were both absent at the last meeting when the problem was discussed. I think though that you are interested in how we get down to the grassroots level of operation, rather than intermediate points, say the Washington program, so we came prepared to talk along field lines. I will just take a few moments to talk about the setup and the type of organization that we have because it is probably a little peculiar by comparison with other services. CSS, I would say, should be considered a service agency for several groups of independent agencies in Agriculture. I'm thinking now in terms of ACP for instance, which is an independent service but whose day-by-day transactions are carried out by our State and county offices and involve considerable paper work. So, if you will look at it in that manner you can appreciate the large volume of paper work by comparison with some of the other agencies. We operate pretty much on a limited basis. One level of operation involves the eight commodity offices with personnel ranging from 350 to 1100. Similarly, the State offices have a wide range of personnel. The State offices is where we run into the problem of getting the message down to the county office level and Bill is going to tell you our approach. The problem of dealing directly with the States and commodity offices at those levels is, of course, no different from any other agency. In addition, we have other groups which may be called quasi-Federal which involve a joint responsibility under the records management program. These are agency sections, Federal Reserve Banks, and member banks, including local banks on lower levels in smaller towns which are known as lending agencies and do the fiscal or paying operations in connection with the corporation's transactions. As we mentioned before, Bill is primarily interested in talking about the operations at the county office level where probably over 280 thousand cubic feet of records are located. He will take up from there and tell you what happens in paper work at that level. Bill Jones.

MR. WIRTH: Thank you Jim.

MR. JONES: Jim has just given you a bird's-eye view of our field organizational structure and its relationship and tie-in with the Washington organization. Our most widespread and diversified field operation is the State Office administration of county office programs and administrative activities. As you all probably know, we have 48 State offices and approximately 3,000 county offices maintaining a heavy volume of our records. Since the individual States are responsible for the administration of the county office programs and operations,

the States are necessarily the clearing houses for dissemination of instructional and informational releases to the counties under their jurisdiction. The ordinary routine within our organization for getting these administrative materials to the States and counties is through the various communications and procedural processes which are directed to the State level only. Here at the State Office, it is usually rewritten into a State Office Letter directed to the individual counties or combined into the County Committee Administrative Handbook. This handbook which is the basic administrative manual of operations is usually divided into four parts, covering organization of the county committee, personnel, fiscal and general administrative. Our records program materials are usually rewritten into Part IV, the General Administrative Section, which also covers property, procurement, and all other service activities. The Records Instructions usually incorporate a suggested filing system for the county offices and a section titled, "Disposal of Records" in which is incorporated the records disposition instructions.

As we have visited the various State and county offices, we have been partiicularly interested in the volume of program and administrative materials clearing through the States to the counties in one form or another. It is reliably estimated that a county office manager must read, digest, and retain, the essential elements of no less than 2800 pages of operational procedures per year to carry on his day-to-day operations. Under the pressure of daily program operations and the necessity of reading and retaining such volumes of operational materials, it was soon apparent to us that a long and involved procedure or instruction was far from being the best way of securing expediency and efficiency of action. As far back as 1952 when we released our handbook for records disposition, we were thinking in this vein and consolidated and condensed the various disposition schedules applicable to State and county records to a program, function or activity basis with a minimum of retention category periods. In other words, if we had certain schedules or items on a three- or four-year basis we might jump it to five. We soon found that this was a step in the right direction. It was easily workable and provided what we thought the right kind of results. This was primarily due to the fact that it was in such form that it could be easily passed on by State Office Letter or incorporated into the County Administrative Handbook. However, here again we were involved with the State Office revising and reissuing processes.

We are fully aware of course that basic continuing procedures and instructions are essential and must be included in the official instructional series. However, what we were looking for was an individualized instrument, an eyecatcher, that would serve a definite needed purpose and retain its original form and image in the total distribution process.

During the latter part of 1954, we started work on what we hope will be a continuing series of releases covering all phases of our program activities. This initial instrument which is officially entitled, "Records Digest - ASC County Offices," but which we call our "County Flyer" was released to all States in March 1955. Our records holdings report for the year proved, beyond any doubt, that it was an excellent working tool because in those States that made direct

distribution to the counties, the 1955 disposition jumped considerably over 1954. The total county increase over 1954 was 40 percent, involving 13,086 cubic feet of records.

MR. TALBERT: Bill, that 13,086 cubic feet was the net increase, not the amount disposed of.

MR. JONES: The Flyer is simply a dressed-up disposal schedule, breaking the total county records into two groups. On one side, the materials that the counties must retain permanently-just the permanent items; and on the other side, the disposable materials. You will notice that in many instances we have used a particular function, activity or program for the grouping of records in designating our disposal periods. We are now in the process of revising the County Flyer and developing a State Office release which will be designed on these same lines but will be directed at the State Office records. The State Office Digest will incorporate the GAO on-site audit records, and include a page, we hope, on non-record materials, such as obsolete forms, procedures, etc. In traveling to the various States during the past few months, we have discussed drafts of the digests with them and have received some good suggestions which will be incorporated. We hope to make distribution of the two new digests by the end of the year.

Our records maintenance activities, involving field installations of systems, have been at a rather low ebb in the past several years. Lately, however, we have been giving it considerable thought and study and are now ready to embark on a full-fledged program involving personalized training and conduct of seminars at State or county levels employing the processes used by Mr. Paulsen in his States when he was our Records Officer in the PMA, Northeast Area. Along with our maintenance program we hope also to develop various types of flyers to give emphasis and generate interest and activity in various phases of the program. Activation of these county systems or programs again must be negotiated through the States and must be tailored to meet the individual specifications of the States on a cooperative basis.

Policing of our activities is accomplished through personal visits to the field offices; State Office audit reports of county offices; CSS Audit Division internal audit reports; OPO, Records Administration Division, reviews, which we have found to be a very good and useful tool; and study and analysis of the yearly records holdings reports. Through these various sources we find that we can pen-point the trouble spots and evaluate the program activity in a given office and more or less draw a well rounded picture of the total operation at the State and county levels.

MR. WIRTH: Thank you Gentlemen. I would like to ask that you hold any questions that you may have until we complete the next presentation and then we will have those. I would like now to call on Mr. Gardner Walker of FHA.

MR. WALKER: Thank you Mr. Chairman.

I want to talk to you this afternoon about three things. I want to tell you about the flow of our procedure, the levels of responsibility for compliance, and our inspection systems followed up by compliance.

First, I want to give you a picture of the area in which we are involved and the magnitude of our paperwork activities. The Farmers Home Administration is a credit agency providing agriculture credit to farmers. We operate on about a 25 million dollar a year administrative budget.

Now to get right into the paperwork area, it takes about 12 to 15 hundred different types of forms to turn our porgram a year. It takes around 25 million pieces of paper. We have over-all between 12 and 13 miles of records, and I use miles instead of cubic feet because I find in dealing with top management it is much easier to talk to them on the magnitude of the paperwork project if I compare it for example with one file drawer that stretches down the road 13 miles instead 70 or 75 thousand cubic feet of records. Our records disposal during this past year amounted to about two miles which seems to be more impressive to top management than the corresponding numbers in cubic feet. I point this up because it may be of some assistance to you in dealing with space and personnel problems in working out the problems of getting a job done.

Our procedures flow from the Administrator here in Washington down to the State level. We have 41 State offices and between 15 and 16 hundred county offices. These county offices are staffed mainly with two people, a county supervisor who makes the loans and an office clerk. The office clerk is the person we want to get to with our records management program. We in the Records Management Branch write the procedure, it's approved in the Administrator's Office, and goes to the State. Actually, it goes on beyond that, for if we issue a piece of paper or procedure on records it goes clear on down to the county office if they have that type of record.

Our loan dockets are set up by prescribing a filing position on practically every form we have. We try to tie that in with the forms manual insert that is prepared at the time the new form is designed and prepared for distribution to the county level. This forms manual insert tells the clerk how to prepare the form and the position in the folder in which it is to be filed.

Now from the State level down to the county office level there are two people who are very much interested in our program and the procedure, and we get them to help us in the compliance. These are the area supervisors who travel to these offices in directing the loan programs at the county level, and the office management assistants. The office management assistants train the county office clerks in all of their office routine duties, including the creation, the maintenance, the use, and the disposition of records. These office management assistants are the employees we rely on to do us the most good in our records training program. The area supervisor is constantly posted to keep on the alert, and it

is part of his job requirements to call attention to any serious faults in the record keeping program at the county level. Through a system of reports the findings of the area supervisor go back into the State Office where we now have, and are getting more, administrative officers to take care of the over-all housekeeping functions of our program, including records.

In addition to those two people, we have an Examination Division which goes out every two years to each one of these county offices. The Examination Division looks at our records to see that these procedures that have come down through the State Office to the county offices are being complied with. These Examination Division reports have been very helpful to us on the over-all program, but the biggest amount of help that we have had is from the office management assistants. These 15 or 16 hundred county offices with these two people average about eight filing cabinets. At the present time, we have just about gotten them to the point where they throw away about as much material as they create. Now that covers our program at the field level.

We have another area of field records that is rather large, the St. Louis Finance Office. All the financial transactions on disbursements and collections go from the county office to the St. Louis Finance Office. But this office has no jurisdiction over the county or State office levels of records management.

I think that gives you a fairly good picture of the flow of our procedure, the requirements for the maintenance of it, and the inspection level that we have.

I want to add one other thing before I leave here. These boys of Bill Luman's, and Virginia, have done us a considerable amount of good. I don't know if you folks find it so or not but frequently top management doesn't want to go along on one of your projects or follow along in what you are proposing to do on the records level, but, by golly, when these folks of Luman's come in with an inspection for you written up the way they do you've got a mighty good basis, some mighty good material to set down and get something done on some of these reports and we appreciate them very much.

MR. WIRTH: Thank you Mr. Walker. Now it is time for these questions that we have been saving up.

MR. TALBERT: I have one for Mr. Walker because it is interesting that he is finding an effective way of managing a disposition program through the use of form numbers, whereas we gave it up three or four years ago. Does there seem to be a management problem in setting forms disposition periods and finding the forms incorporated in case file material after the inactive period? What I'm trying to bring out is what we ran into at the county level - a case filing process which is absolutely necessary to our type of program - involving the servicing of the completed file after five years. We considered various retentions and finally set an over-all period of five years, even though some of the documents were disposable after two years; some three years; and some five years. However, we do have permanent retention periods for certain types of forms. Do you have a similar problem?

MR. WALKER: First let me say that I did not intend to convey the impression that we manage our disposition program on an individual form basis. When all of a borrower's indebtedness is paid in full, the whole case folder goes over into the retired case file and stays there for a certain length of time regardless of the papers in it. Now on some of the old project records, that is some of the records of predecessor agencies, we still use some statements on certain documents and forms.

MR. TALBERT: Well, for everyone else's information we had quite a problem operating on the forms basis. Our procedures system is patterened after yours, or yours after ours, whatever you want to say, and we do have the "exhibit" forms that go with procedures but we no longer attempt to make reference to disposition on the forms exhibits because of the problem we ran into on the case files.

MR. SIMON: I would like to ask Mr. Walker a question. These office management assistants that go out and train your clerks, were they at one time trained themselves on what to teach these county clerks, or did you have conferences, seminars, or something similar?

MR. WALKER: These office management assistants in the State Office have all been county office clerks at one time. Now, just recently, under the reorganization program that we've had, we've had a series of four training meetings out in St. Louis and had these people in, about 15 at a time, and gave them a whole week's course in their responsibilities. We spent one afternoon with them on records and one afternoon with them on communications.

MRS. THATCHER: Gardner, I have a question that I would like to ask you. How do you find your records program compares now, in effectiveness, as when you had four area offices, with a records officer in each?

MR. WALKER: Well, at that time we had more personnel to travel on records work. We went through a reorganization, we came out of the reorganization with fewer records people, and we are building back up part of the field staff which was taken out. I think that a year from now we will have a fuller records program than we have now because we are adding administrative officers at our State level whereas we had only four records officers available for field travel at the area levels before. These new administrative officers are the people we want to get to now with our records program. We have this kind of a problem - there are just so many people in the field on the various types of program and it's naturally the loan program which gets the employee's attention first. That is just about what it amounts to in our organization.

MRS. THATCHER: From the audit reports of your own people, do you find that the effectiveness of the program in these State and county offices is just as good as when you had these area records officers?

MR. WALKER: I think in another year it will be better.

MR. HURTICK: I would like to ask two questions that are relating to CSS. Do you have complete control of your records at your county offices?

MR. TALBERT: What do you mean by complete control?

MR. HURTICK: Well, are they part State records or are they part-------

MR. TALBERT: No, we have schedules on all records. As Bill tried to explain, we have complete coverage with respect to the county offices. Of course, our line of authority is through the State Office. Again, as Bill tried to point out, the job was to get directly to the county level. They were requesting something more than they were getting. A disposition schedule covering every form that goes in and out of the county offices is just that much paper and the states could not sell their program on that basis. They wanted a small eye-catching type piece of paper that they could send out which the counties could readily understand and take appropriate action. On our trips to the states, we find that about 5 or 7 states, total nationally, did not send the digest down but merely copied the material into their instruction specifications for carrying out their disposition program. We visited three of those offices that used this method and all three dropped behind their previous year's disposition average, whereas in those states that made direct distribution of the digest, to their counties, we had up to a 300% increase in disposition in certain counties.

MR. HURTICK: Is your disposal schedule mandatory?

MR. TALBERT: All CSS schedules are. Of course we have incorporated some material into the digest groups from the general schedules, and have made certain administrative determinations under other group classifications. I think that inasmuch as a considerable volume of our county records are duplicated at the State level the mandatory feature does not represent the major problem, our biggest problem is getting action at the county level.

MR. BRYAN: What is record and non-record material? Are the records in various county levels classed as record or non-record material?

MR. TALBERT: Some of it is. However, we have been very liberal in our classification of non-record material.

MR. LUMAN: Mr. Chairman, I would like to direct a question to the entire group, that is, not only those who have field activities but those who have activities in a large portion. I would like to know your respective opinions to the degree of accuracy of the Annual Statistical Summary of Records Holdings?

MR. TALBERT: That's our report to you?

MR. LUMAN: Yes.

MR. TALBERT: We are aware that some of our reports are inaccurate as we haven't been in a State yet, I don't believe, where we came out on the nose. For example,

one State that we visited Doug Gifford returned later and disposed of more records than they had reported for the previous year. Of course we receive all types of explanations - such as: Oh! that old stuff back there! we never refer to that, so we don't count it. We find it is more or less the active or possibly the semi-active material in our State offices that is reported. The same rule applies to the county offices. If they have old history records filed up in the attic that are not referred to, they are usually excluded. So, I would be reluctant to say Bill, just how much our holdings would increase if someone took a drawer by drawer inventory. We also have the problem, and I'm sure your analysts will agree, of non-record materials being included in the reports. I would say this though, if we could inventory every reporting point and eliminate all the non-record materials that are included, we would probably come up with a larger holding than we have reported.

MR. PAULSEN: I would like to say this. I just came back from visiting some AMS offices in Florida. Out of 7 offices that I visited, six of them were so far off that it wasn't even funny. In another office they reported 80 cubic feet of records on hand as of the 30th of last year, they had 6 filing cabinets. No records in any storage space, they didn't have any storage space. I ask them how they came to figure this and they said--well, they thought it would be a good one to report this year. They counted everything that had printing or writing on it. So, the reports in answer to your question I don't think are accurate.

MR. WALKER: I'll tell what we did recently just to try to have a tie-in on just what you are talking about. We put in two additional lines in the report in addition to the cubic feet of records. We asked how many legal size file cabinets do you have, and how many letter size, and we had them give the numbers. Now we are in the process of going through these reports on an analytical basis. The field report as to the number of cubic feet of records and the number of cabinets we had signed by the employee in charge of the office.

MRS. THATCHER: This is one question that our office is desirous of having the answer to. Where you have gone in, Bob, and established a uniform filing system, how much leeway do you allow the offices in deviating from that system?

MR. LANDO: I think it is a matter of selling. A matter of selling and presenting it in such a way that it will be difficult for offices to make changes in our system. We use persuasion to the greatest extent possible.

MRS. THATCHER: Well, let's say that we have separate files under specific subjects, such as bills of lading, purchase orders and vouchers; if some of your offices that you go into say they would like to file such documents altogether, would they be allowed to do that?

MR. LANDO: Surely. We recommend case filing these types of documents.

MR. HURTICK: Well, let's take it the other way around, suppose they didn't want to file them altogether?

MR. LANDO: Well, we would try to persuade them that it would be to their advantage to follow our system. As staff people, we do not have line authority over field officials. However, in AMS, we work through the Washington supervisors of these field offices. The Washington supervisors issue to their field offices our uniform filing systems.

MRS. THATCHER: Now, Bob, maybe no staff man would try to force offices, but on the other hand we do have agencies right here in the Department that have uniform systems that all of the offices follow nation-wide. Now, if they are allowed to deviate to fit an individual need, providing it isn't too great, then your system would continue to be workable, but if they deviate on everything, then the system loses its value.

MR. LANDO: Correctly so. However, that is where I believe selling comes in. If you have top management support that is fine. Our method of selling is through line authority and have found it a good one.

MR. WIRTH: We are already one minutes over time but I would like to make just one more announcement before we do close.

Bill Luman asked me to thank the members of the Records Council for the flowers which was sent at the time of his recent grief. I think with that we will adjourn.

Minutes of USDA Records Management Council
Held January 19, 1956, Room 3046-S

Present:

R. C. Daffer	City Post Office	R. C. Moore	FHA
E. L. Ellis	Post Office Dept.	Gardner Walker	FHA
Eddie Sinclair	AMS	Gordon Sproles	FHA
W. H. Hillenbrand	AMS	LeRoy Milbourn	FHA
Evelyn Hale	AMS	Laura B. Lane	FES
Betty White	AMS	James Bolton	FES
L. K. Wright	AMS	Van Milton	FES
S. J. Dorick	AMS	Vesta Sherman	FAS
H. C. Lewis	AMS	Oneta Smith	FAS
George H. Mack	AMS	Helen Mann	FAS
John C. Danforth	AMS	Ruth Donovan	FAS
Paul Wirth	ARS	Howard Hayden	FS
Charles D. Barrick	ARS	S. A. Williams	FS
Robert J. Hughes	ARS	Fred Herzer	OGC
Maude L. Solberg	ARS	Leland E. Roberts	OGC
Pearl P. Rupert	ARS	Alice M. Wolfe	OGC
Frances Debnam	ARS	Hazel Thomas	Inf.
B. G. Spille	ARS	Katie Hawkins	Inf.
G. H. Sears	B&F	Alice B. Baldwin	Inf.
J. A. Miles	B&F	Bertha Dunton	Lib.
Elmo Bryan	B&F	A. L. Magruder	Lib.
Nora Schrider	B&F	James H. Austin	P&O
Doris E. Wood	CEA	Donald J. Simon	P&O
Mary Lee Butler	CEA	Virginia W. Thatcher	P&O
Howard Rawcliffe	CSS	W. T. Luman	P&O
Carl Christianson	CSS	Joseph K. Allison	REA
Sara L. Cohran	CSS	Dorathea E. Wallner	REA
A. B. Murdock	CSS	Everett Moxley	REA
George E. Sudduth	CSS	Oscar L. Barnes	REA
Mildred Farrow	FCS	Gilbert E. Lewis	SCS
John Smiroldo	FCS	James A. McLean	SCS
H. Silence	FCS		

MR. WIRTH: This is the 4th USDA Records Council meeting for the 1956 season. Because of the subject matter to be covered today, I rather expected to see a fair number attending that has never attended before. Due to the need for moving picture facilities and the anticipated larger attendance, the AMS Conference Room was provided for this meeting.

The minutes of the October meeting had not been distributed prior to our last meeting so today, in accordance with past custom, the minutes of the October and the November meetings will be approved as written unless there are suggested changes or editions.

I have a brief preliminary statement before our program gets underway. Today's program is somewhat of a departure from previous and customary type programs in that we are going right to the heart of an operating problem rather than dealing with general program, policy, procedural, or organizational matters at a somewhat high level. As a result, it may be possible that future programs might be held in this concern. In that case, I hope that the new faces I see today may continue to be with us in the future.

We have two gentlemen with us who have handled their share of communications and are responsible for the motion picture shown today--they are, Mr. R. C. Daffer, Superintendent of Classification of the Washington Post Office who has 47 years of service; and Mr. E. L. Ellis, Mail Classification Specialist, Office of Assistant Postmaster General, Bureau of Post Office Operations, who has 25 years of service. Together these gentlemen have a total of 72 years of combined service and I would like to take this opportunity to welcome them to this program.

MR. DAFFER: It is a pleasure to be with you today and I appreciate very much the opportunity of being able to attend this meeting.

MR. WIRTH: As for today's program, AMS sought to combat certain mail problems through education. What they did and the subject matter they cover may be appropriately applied to other agencies in Agriculture. Without further delay, I want to present Mr. Eddie Sinclair, Head, Mail and Records Section, who after a brief statement will turn the meeting over to Mr. George H. Mack, Supervisor of Mails, AMS Central Mail Unit, who will cover the various exhibits prepared in his Unit.

MR. SINCLAIR: I want to thank Mr. Wirth and the Council for allowing us to put on this program. Today, we are presenting the same program we presented to AMS divisions this year, with the exception that in AMS we told our people what we expect them to do. Here we cannot tell you what to do. In AMS we set certain mail procedures or violations of Department Regulations of which were delaying the mail trips which we had scheduled to the Department Post Office received from various AMS divisions. We decided that something had to be done about these problems and thought we would design a check list, of which you each had a copy in your seat, where we listed the violations in more or less priority order. It was advisable not to step right in and print this form and send one back to divisions without discussing the problem concerned. We decided not only to tell what was wrong but to show what was wrong. We have new personnel coming in and out and with regulations changing, the only way to keep them informed is to have this check list with violations on plus our offer to assist the divisions for any help they may need in settling any mail problems.

We will now show a film loaned to us by the Post Office Department entitled, "Pigeon Holes and Progress".

MR. SINCLAIR: Mr. George Mack will now cover the various exhibits prepared in his Unit.

MR. MACK: In presenting these exhibits to you, we feel bound by such amenities as go along with the honor of being your guests. Nothing will be proposed, therefore, to suggest any interest in the procedural mail practices of any other

agency of the Department. Our chief purposes, then, among other things, shall be to emphasize our own conception of mail service responsibility; to demonstrate problems we found in AMS mail handling; and what we are doing to meet them.

Since mail and records are so closely related, it occurred to me that maybe we who handle the mails might be able to make some mutual contribution in a field so vital to the work of the Government. What you call records today were, in many instances, only the letters we handled yesterday. Though many of our problems admittedly are difficult, they are not, in my mind, nearly so difficult as many of us might be lead to believe. The main trouble, as I see it, is that we cannot expect people to know when a job is being done the wrong way, until they first have been given to understand what the right way is.

From the way much of our mail for dispatch is shoved on us at the last minute of the day, I often have wondered how many of us realize that every letter or piece of mail admitted into the United States mails must comply with laws of Congress and rules and regulations of the Post Office Department; and that any letter or piece of mail violating any of these laws and regulations, even if permitted by a Bureau or Service mailroom to get to the City Post Office, would not be likely to get any further. And, on top of that, we here in the Department cannot well ignore the Administrative Regulations of our own Department of Agriculture, Title 4, Chapter 15.

We in AMS believe our mail problems can be solved. In fact, they are being solved. But, it is my thought, that if we - all of us - can make ourselves more fully mail conscious, to the extent that we will not attempt to mail any piece of mail until we have first convinced ourselves that it is correctly addressed and properly prepared to withstand the hazards of transportation, we shall be moving much faster toward a solution of the more complex of our problems in mail handling.

Our vast problem is wrapping and packaging. Here is a package that shows you how mail should never be sent. The only good thing about this package is that it went only as far as the City Post Office. This is the way we say it should be wrapped.

<u>Selecting Envelope Size</u> - Do not overstuff. If you send foreign mail to Department Post Office with flap turned in, chances are they will seal it and charge first-class postage.

<u>Addressing Mail</u> - One of the problems that we frequently run into is that they use gummed labels but they use tape on them instead. In AMS we recommend that they use gummed labels or glue.

<u>Sealing Mail</u> - Any Government mail may be sealed. You may also include in your parcel post package a letter and still be charged at the parcel post rate.

<u>Registered Mail</u> - It should always be sealed by the person sending it. If it is open the mail room is responsible for it. We insist in AMS that you seal it before coming to us.

Registry Return Receipts - Should always be on back of envelope and so fastened that it can be pulled off without damaging the letter. Don't use cellophane tape to paste around and don't use any tape to reinforce the seal at flap intersection.

Air Mail - The Department Regulations say you must not use penalty envelopes for air mail. Use the envelope with the return address on it, without the penalty. For foreign mail, except Canada, Mexico and certain South American countries, you should use the envelope with the Department of Agriculture address on it but no penalty.

Third-Class Mail - It has to be in a penalty envelope.

Parcel Post - The regulations say that any first-class mail weighing not more than 4 pounds can go under a penalty label. If more than that then you have to pay postage, and should not use penalty indicia. It also prohibits breaking large shipments into smaller ones to avoid payment of postage.

QUESTIONS & ANSWERS:

Do you have any opinion on the effect of speed that Registered Mail or Special Delivery mail has?

Registered Mail does have a tendency to slow it up as everyone along the line has to receipt for it. Special Delivery when reaches a Post Office is segregated from a large mass of mail, and is given to special delivery carriers. So, Special Delivery does speed it up.

The meeting adjourned at 3:00 p.m.

Minutes of Meeting No. 7
USDA Records Management Council
April 11, 1956, Room 124-E

Present:

Evelyn R. Warfield	- ACPS	Mildred Farrow	- FCS
W. H. Hillenbrand	- AMS	Gardner Walker	- FHA
R. W. Everett	- AMS	Allison G. Allen	- FHA
James H. Hopkins	- AMS	Van Milton	- FES
Gertrude Cunningham	- ARS	Howard Hayden	- FS
Edna E. Bushong	- ARS	Craig Bakie	- FS
Frances O. Debnam	- ARS	Artel Ricks	- GSA
Paul Wirth	- ARS	William B. Kittle	- GSA
Elmo Bryan	- B&F	Isadore Perlman	- GSA
Howard Sears	- B&F	Fred Herzer	- OGC
Anna Mae Reid	- CEA	Leland E. Roberts	- OGC
Howard Rawcliffe	- CSS	James L. Miller	- OGC
Clarke A. Paulsen	- CSS	Hazel Thomas	- Inf.
Ernest S. Thompson	- CSS	Bertha Dunton	- Lib.
Felton E. Robey	- FCA	W. T. Luman	- P&O
Charles V. Trowbridge	- FCIC	Peter Doyle	- P&O
John Smiroldo	- FCS	James A. McLean	- SCS

The regular monthly meeting of the U.S.D.A. Records Management Council was called to order by the Chairman, Mr. R. W. Everett. Mr. Everett stated that ordinarily the minutes of the last meeting were approved at this time, but there were no minutes written as Mrs. Proctor, former Secretary of the Council, had transferred to CSS. Mr. Everett mentioned that the Council wad indebted to Mrs. Proctor for her assistance during the last 3 or 4 years, and wished her every success in her new job. Through arrangements made with Mr. Gardner Walker, Mrs. Farnsworth of FHA acted as temporary Secretary for the Council.

The Chairman brought to the attention of the Council the fact that Messrs. Ricks, Kittle, and Perlman from GSA were attending the meeting.

Mr. Everett reminded the Council that during the month of April a nominating committee must be designated for the election of next year's officers, and requested that everyone attend the May meeting in order to get out the vote, and this point was reiterated at the close of the meeting. He further reminded the Council that each Agency has only one vote under the by-laws of the Council. The Council was informed that Mr. Hillenbrand, AMS, Mr. Christianson, CSS, and Edna Bushong, ARS, had agreed to serve on the committee, with Mr. Hillenbrand as Chairman.

The Chairman introduced the first speaker, Mr. Ernest S. Thompson, who in the absence of Mr. Talbert, Chief, Records and Forms Management Branch, CSS, spoke on paperwork management in the Cincinnati Commodity Office.

Mr. Thompson stated that this office is the national outlet for processed food operations for the Commodity Credit Corporation, as well as the most recently established among the eight Commodity Offices now in existence, and most of its records originated in six of the other Commodity Offices and were transferred from those offices at the time this activity was centralized on a national basis.

Mr. Thompson informed the Council of the findings when a review was made of the total office paperwork job in the Cincinnati Office. He stated their first operation involved a drawer-by-drawer survey of all cabinets, whereby they determined a segregation by category of - (1) those records required quite frequently by the divisional offices in their daily operations; (2) records less frequently required for examination; and (3) records to which further reference was not anticipated. This third group required a screening to remove material which under existing disposal authorities could be destroyed and the balance was transferred to the Federal Records Center. The operation eliminated 600 cubic feet of records and released a $2300.00 budget obligation.

Records in the second category were moved to a Central Files unit until such time as they are eligible for transfer to a GSA center.

The current records will be maintained by the operating divisions. However, they are now organized under a subject-numeric filing system, and are subject to periodic inspection by the Records Officer.

Under the new system, when a division releases a folder which has passed the "active" stage, it is picked up by Central Files and identified with the over-all code and refiled as semi-active. The Central Files are prohibited from changing division file codes for folders moved from the "active" stage to the inactive stage at the time they are merged with the Central Files. Periodically the divisions release their inactive files to the Central Files Section and periodically the Central Files Section releases its inactive files to the Federal Records Center. Mr. Thompson stated that in following this plan for the step-by-step disposal of records, he anticipated no further requirements for additional filing equipment. The Records Officer has full authority for proper maintenance of all records in the Commodity Office.

Mr. Thompson then reviewed some of the aspects of the survey made in connection with correspondence problems. He stated that through the use of Form AD-172, "Mail Record Card", they established a master control over the average 450 pieces per day of correspondence. The responsibility of the Mail Unit is now limited to routing only to the proper division. Divisional control desks must maintain current information as to routing within the divisions.

Also, through converting to automatic machine operations, rather than

having routine Mail Unit tasks performed by hand, they reduced clerical time by 70%, and the current tangible savings for annual paid overtime, and detail of personnel from other offices amounted to $9,420.00. The cost of the mechanical equipment purchased amounted to $1,780.00. He estimated their intangible savings as clerk time saved by improved filing and reference service; improved flow of work with better timing on distribution of incoming mail which should result in saving time of supervisors and higher paid employees; improved public relations by more prompt handling of documents and inquiries.

Mr. Everett then called on Mr. Luman to tell about his speaking tour through the Midwest, Southeast and Southwest.

Mr. Luman reported that he spent one day at the Federal Records Center in St. Louis. He found that the personnel was most efficient and reported that the salary earning cards we were now forwarding to the Center were very helpful to them.

While there, he reported, the Center asked him to give some consideration to (1) adopt the practice now being followed by the Department of Defense of sending personnel folders to the Center within 30 days after separation, (2) adopt the use of SF-50 (Notification of Personnel Action) for all Letters of Authority employees, (3) show name of agency (i.e. Office of the Secretary, etc.) on all SF-127 (Request for Personnel Folders), and (4) send all SF-7 (Service Record Card) to the Center five years after separation.

He also mentioned that Mr. B. F. Cutcliffe, Deputy Regional Director for Records Management, Region 6, Kansas City, Missouri, met him in St. Louis, and that while there he spent considerable time with J. J. McLaughlin, Chief of the Center, and with Messrs. Whalen, Davis, Heston, and others.

Mr. Luman stated that while in Kansas City, Missouri, he visited the Commodity Office of CSS, and the office of the Regional Attorney (OGC), and spoke at the Kansas City IRAC. While in Kansas City, he spent considerable time with Don Smith and Ted Anderson of CSS; Giles Ponstone (OGC); W. A. Holloway, Regional Director, Region 6, (GSA); and Messrs. Cutcliffe, White, Collins, etc., of the Federal Record Center in Kansas City.

In Dallas he spoke at the IRAC, and visited the Commodity Office of CSS. In Fort Worth he visited the Federal Record Center, where he met its Chief, Orus C. Steely, and others.

In New Orleans he visited the Business Office, as well as the Southern Utilization Research Branch of ARS. He also visited the Commodity Office of CSS and the Southern Forest Experiment Station of FS. While in New Orleans he also inspected the Federal Records Annex of GSA.

In Atlanta he visited several agricultural offices (FS, OGC, FHA, CSS (C&I), and CSS (Audit)). He also spent considerable time at the Federal Records Center, and made two informal talks.

He concluded by saying he was very much impressed with the general efficiency of all of the governmental personnel he met on his trip.

The meeting adjourned at 3:00 P.M.

MINUTES OF MEETING NO. 8
USDA RECORDS MANAGEMENT COUNCIL
May 16, 1956, Room 331-W

Present:

R. W. Everett, Jr.	- AMS	Russell L. Paxton	- CSS
James H. Hopkins	- AMS	Felton E. Robey	- FCA
R. H. Lando	- AMS	Mildred Farrow	- FCS
George H. Mack	- AMS	John Smiroldo	- FCS
E. S. Sinclair, Jr.	- AMS	Van Milton	- FES
W. B. Wiswell	- AMS	LeRoy Milbourn	- FHA
J. W. Arnett	- ARS	Gardner Walker	- FHA
Charles D. Barrick	- ARS	Hazel H. Thomas	- Info.
E. E. Bushong	- ARS	Bertha Dunton	- Lib.
Gertrude Gunningham	- ARS	A. L. Magruder	- Lib.
Frances Debnam	- ARS	James L. Miller	- OGC
R. J. Hughes	- ARS	L. E. Roberts	- OGC
M. H. Miller	- ARS	Peter J. Doyle	- P&O
Mildred O'Brien	- ARS	W. T. Luman	- P&O
Pearl P. Rupert	- ARS	Margaret Schneider	- P&O
B. G. Spille	- ARS	Don Simon	- P&O
Paul C. Wirth	- ARS	Virginia W. Thatcher	- P&O
G. Howard Sears	- B&F	Joseph K. Allison	- REA
Anna Mae Reid	- CEA	Dorothea E. Wallner	- REA
Doris E. Wood	- CEA	G. E. Lewis	- SCS
C. G. Christianson	- CSS		

The regular monthly meeting of the Records Management Council was called to order by the Chairman, Mr. R. W. Everett.

The new permanent secretary of the Council, Mrs. Lila W. Meyer, P&O, was introduced.

Mr. Everett announced that minutes of the April meeting had been reproduced and distributed to the members of the Council and that they would be approved as written unless there were comments to the comments to the contrary. As there was no objection, the minutes stand approved.

Announcement was made of a meeting to be held on Friday, May 18, of the IRAC at the National Archives, concerning new specifications to be released. Mr. Everett requested that word of this meeting be circulated.

Mr. William B. Wiswell, who has recently transferred from the Internal Revenue Service in Chicago to the Eastern Area Administrative Division of AMS, was introduced.

A special welcome was extended to those present who ordinarily do not attend Council meetings and who doubtless were present because of their interest in the announced subject.

Mr. Luman announced for the benefit of those who had planned to attend Records Management Council clinics in Richmond or Baltimore that Mr. Art Young, Deputy Regional Director for Region 3, had requested that the Washington group refrain from attending the meetings in those cities as they already have far more than their facilities can care for. Mr. Young regretted the necessity for making this request and assured Mr. Luman that he plans to schedule a clinic for Washington in either June or early September, at which time everyone will be given a most cordial invitation.

Election of Officers

The Nominating Committee consisted of William H. Hillenbrand, Chairman, C. G. Christianson, and Mrs. E. E. Bushong. A Chairman, Vice Chairman, and two members of the Steering Committee were to be elected. Ballots containing the slate presented by the Nominating Committee were distributed. A motion was carried that additional nominations be accepted from the floor. These were called for but as there were none, nominations on motion were closed.

The slate, as follows, was read and those candidates who were present were asked to stand.

For Chairman and Vice Chairman:

J. Howard Hayden, FS	Gardner P. Walker, FHA
Robert H. Lando, AMS	Paul G. Wirth, ARS

For 2 members of Steering Committee:

Mildred R. Farrow, FCS	Russell L. Paxton, CSS
Van O. Milton, FES	Leland E. Roberts, OGC

All but five agencies participated in the voting, results of which were as follows:

Gardner P. Walker was elected Chairman
Paul G. Wirth was elected V. Chairman
Leland E. Roberts was elected to Steering Committee
Mildred R. Farrow was elected to Steering Committee

Mr. Everett thanked the Nominating Committee and Election Committee for their competent and expeditious handling of this election. He also thanked the members of the Steering Committee -- those who were outgoing and those who were remaining -- and the Vice Chairman, Mr. P. G. Wirth, for their splendid support during the past year. He wished for the incoming officers the same type of support and commented that during the past year we have had better than average attendance over that of previous years; he extended best wishes for success to the new officers.

Mr. Luman thanked Mr. Everett for having served as Chairman during the past year and commented on the increased interest in the meetings, for which he believed Mr. Everett was largely responsible. (Applause)

Mr. Everett announced the main topic of this meeting -- <u>handling of mail in the Department</u>. <u>Misaddressed mail</u> was suggested as an opening subject for discussion.

<u>Mr. Sinclair</u>, AMS, outlined some of the difficulties his agency had experienced at the time of the reorganization. While those in the Department were familiar with the changes, those in other Federal agencies and on the outside who had been corresponding with, say, old BAE and PMA for many years were not aware of them. The AMS Mail Room was fortunate in securing from BAE and PMA experienced people who knew the personnel, the job functions, and some of the reorganization changes in division titles. These employees were of great assistance in that usually they could determine from the addresses the proper division of AMS to which a piece of mail should be delivered. However, about a linear foot of misaddressed mail was being received daily, some of which was undistinguishable, and it was stacking up on the Routing Clerk's desk. Mr. Sinclair said that he personally spent a great deal of time trying to determine the proper destination through the telephone directory; however, this of course gave only the agencies, and mail is sorted and thrown by divisions. Almost in desperation, a mailing address change card was designed as follows: "This chain envelope was incorrectly or not fully addressed causing delay in reaching you. We should have name, agency, division and branch." The Mail Room of course did not have the time to fill out the cards so were compelled to attach one to each piece of correspondence that had been misaddressed and return it to the sender. The cooperation they received was so fine that they were soon well on the way to getting the misaddressed mail problem straightened out. In addition, instructions went out to the field that divisions as well as agencies must appear on mail coming into the Department. Mr. Sinclair also made up a visible index, commonly called "Flexoline", which contains the names and addresses for those for whose mail he is responsible; in this type of index, small cardboard strips are inserted. In addition, he made

arrangements with his personnel office to have them furnish him with names and locations of new employees, which he then added to his index. Mr. Everett said that often during the reorganization period they received misaddressed mail that was also urgent, which was usually found in the pending file of misaddressed correspondence.

Mr. Barrick, ARS, told the group that his Mail Room receives a large amount of mail that belongs to neither the ARS nor the USDA. They have solved their problems on misaddressed mail from their own agency, but expect that such problems will always continue so far as mail from the general public is concerned.

(At this point, the approved AMS Form 45-1, Mailing Address Change Card, was circulated.)

Mr. Everett asked if anyone had any problems concerning the last outgoing mail of the afternoon and if anyone finds that it all comes in on the last delivery instead of throughout the day.

Mr. Barrick said that their biggest problem in this connection in ARS concerns telegrams which leave his mail room at 4:30. It has been estimated that between 70 and 80 percent of their telegraphic replies are sent between 7 and 8 o'clock in the evening.

Mr. George Mack, from the AMS Mail Room, reported that they have hamdled this problem by making the last telegraphic check at 5:25 p.m. each day and notifying the addressees of their contents by telephone.

Mr. Barrick replied that it is receiving the messages in his Mail Room in time for dispatch that is his problem.

Mr. Sinclair said that he knew of one agency with a similar problem that had established its own telegraph machine.

Mr. Barrick reiterated that his primary problem is receiving the messages on time.

Mr. Everett asked if anyone had problems concerning reproduction service, wrapping packages, stapling, etc.

Mr. Barrick replied that his group performs all of those services for the offices of ARS. They also handle the disposition of issuances and some publications as there seems to be no other place to handle these services.

Mr. Everett reported that the GSA people are making numerous surveys and he feels that eventually this may be a decentralized operation as

opposed to centralized handling. Presently, AMS is distributing mail to decentralized places, from which it is distributed down to the office level. He asked, "How would you feel about protecting what you have in favor of something else?"

Mr. Walker said he is particularly interested in the comments of Mr. Barrick concerning the handling of publications; that FHA had considered that a supply operation and had severed it from mail handling, so that now their supply people count out pamphlets, wrap them, etc.

Mr. Barrick commented that they have no central supply distribution section nor anything of an information nature.

Mr. Walker remarked, concerning the late mail pick-up question, that FHA had had devised a Washington memo which states that except in special cases no more calls will be made to offices after 4:30 p.m. They of course keep track of these special cases. He said that this has tended to encourage the divisions to get their mail signed earlier in the afternoon and suggested to Mr. Barrick that he might get his Administrator to work with him on this.

Mr. Everett said he felt that there had not been sufficient time to do full justice to this topic and suggested that in view of the expressed interest it might be desirable to set up a discussion panel, perhaps for early in the Fall.

The meeting, on motion, adjourned at 3 p.m.

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(No Council meetings during June, July and August)

Minutes of USDA Records Management Council Meeting
held on September 26, 1956, at 2:00 P. M.
Secretary's Conference Room
(Room 218 - Administration Building)

Present:

Ralph S. Roberts	- Sec.	Charles V. Trowbridge	- FCIC
Herbert E. Angel	- GSA	Van O. Milton	- FES
E. O. Alldredge	- GSA	James P. Bolton	- FES
L. K. Wright	- AMS	Edward H. Steinberg	- FHA
R. H. Lando	- AMS	C. H. Van Natta	- FHA
F. H. Spencer	- ARS	W. B. Wood	- FHA
Raymond W. Sooy	- ARS	Gardner Walker	- FHA
Paul C. Wirth	- ARS	Allison G. Allen	- FHA
Charles D. Barrick	- ARS	L. T. Milbourn	- FHA
Edna E. Bushong	- ARS	Gordon D. Fox	- FS
Paul K. Knierim	- ARS	G. T. Smith	- FS
B. G. Spille	- ARS	Frank Shea	- Inf.
Pearl P. Rupert	- ARS	Galen Yates	- Inf.
John L. Wells	- B&F	Mary G. Bryant	- Inf.
J. P. Loftus	- B&F	Blanche Oliveri	- Lib.
E. B. Bryan	- B&F	Bertha Dunton	- Lib.
G. H. Sears	- B&F	L. E. Roberts	- OGC
D. A. Currie	- CEA	Randall S. Aubinoe	- OGC
Doris E. Wood	- CEA	Margaret Sullivan	- Pers.
Frank R. McGregor	- CSS	F. R. Mangham	- P&O
J. H. Hamilton	- CSS	Terry J. McAdams	- P&O
J. L. Talbert	- CSS	W. T. Luman	- P&O
William P. Jones	- CSS	H. W. Berger	- P&O
C. G. Christianson	- CSS	Peter J. Doyle	- P&O
E. S. Thompson	- CSS	Donald J. Simon	- P&O
Clarke A. Paulsen	- CSS	Virginia W. Thatcher	- P&O
W. A. Minor	- FAS	James H. Austin	- P&O
Ruth Donovan	- FAS	Margaret Schneider	- P&O
Oneta Smith	- FAS	W. T. Templeton	- REA
Felton E. Robey	- FCA	Joseph K. Allison	- REA
Harold D. Walker	- FCS	Dorothea E. Wallner	- REA
Mildred Farrow	- FCS	Nuel Hurtick	- SCS
John Smiraldo	- FCS		
C. A. Fretts	- FCIC		
H. Eugene Harker	- FCIC		

Mr. Walker, Chairman: Members of the USDA Records Management Council and guests, we welcome you to the first Council meeting of the season. Our Council members are particularly pleased that you Administrative Officers for Management, to whom so many of us look for operating guidance, are with us for this especially interesting meeting. We want you to know more about our aims, and our objectives, and about the things for which we work.

It is also a pleasure for me to introduce to you two good friends of this Council from the General Services Administration. They also have taken time out of very heavy work schedules to be with us - Mr. Herbert Angel, Director, Records Management Division, National Archives and Records Service, and his assistant, Mr. Everett Alldredge.

We are dispensing with Council business matters today, and will move right along into our program. As our speaker came into the room, I asked him if he would be agreeable to having you ask him questions after we have heard his views. To this he has agreed, so be prepared with your thought provoking questions at the appropriate time. You know, it isn't very often that we capture such a prize speaker as this, so we need to take full advantage of his presence.

Our speaker is well-known to all of us, even though he may not know each of us personally. The way he works - the way he lives - and the energy he puts into his job - are an inspiration to us all.

It is a pleasure to have with us today our Administrative Assistant Secretary, Mr. Ralph S. Roberts. His subject is, "The Records Management Program as it Relates to the Broad Administrative Management Program of the Department".

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A copy of Mr. Roberts' address is attached.

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Following the address, a question and answer period ensued. The meeting was adjourned at 2:50 P. M.

Minutes of USDA Records Management Council Meeting
held on October 11, 1956, at 2:00 P. M.
Room 509 - USDA Administration Building
(Information Conference Room)

Present:

Robert J. Trudel	- CSC	Van O. Milton	- FES
E. O. Alldredge	- GSA	L. T. Milbourn	- FHA
James H. Hopkins	- AMS	Allison G. Allen	- FHA
W. H. Hillenbrand	- AMS	Milton Arnold	- FHA
Harold P. Grambs	- AMS	Laura E. Duncan	- FHA
Nira O. Smith	- AMS	Gardner Walker	- FHA
Pearl P. Rupert	- ARS	K. H. Neveln	- FS (Denver)
Maude H. Miller	- ARS	Howard Hayden	- FS
Gertrude Cunningham	- ARS	R. M. Strasbaugh	- FS
C. D. Barrick	- ARS	Franklin Salzman	- FS
F. X. McCarthy	- ARS	Galen Yates	- Inf.
Paul C. Wirth	- ARS	Mary G. Bryant	- Inf.
E. W. Williams	- ARS	Bertha E. Dunton	- Lib.
E. B. Bryan	- B&F	Fred P. Herzer	- OGC
Louise T. Baker	- CEA	James L. Miller	- OGC
Doris E. Wood	- CEA	L. E. Roberts	- OGC
James F. Isend	- CSS	J. P. Findlay	- Pers.
Charles Potter	- CSS	B. A. Neary	- Pers.
Oneta Smith	- FAS	Margaret Sullivan	- Pers.
Felton E. Robey	- FCA	D. J. Simon	- P&O
R. Knapp	- FCIC	Scottie Pryor	- P&O
Margaret A. Ennen	- FCIC	W. T. Luman	- P&O
W. N. Monies	- FCIC	V. W. Thatcher	- P&O
Mildred R. Farrow	- FCS	Dorothea E. Wallner	- REA
Madelyn L. Sturgus	- FCS	Louis V. Mayola	- REA
Ida H. Manley	- FES	Albert Geiger	- SCS

Mr. Walker, Chairman: Members of the USDA Records Management Council and guests, we welcome you to our October meeting. We Council members are particularly pleased that so many of you Personnel and Classification Officials, to whom we look for so much guidance and assistance in job description matters, have taken time to be with us. It is evident that you have a genuine interest in our field of activity. We also want you to know more about our aims and our objectives and about the things for which we work.

It is also a pleasure to have with us again a good friend of this Council from the General Services Administration. He is well known to many of us and we have a great deal of respect for his ability--Mr. Everett O. Alldredge, Chief, Records Center Branch, Records Management Division, National Archives and Records Service.

Our speaker has a background of 16 years of Classification and Standards writing with the Civil Service Commission. He is presently an Occupational Specialist in the Commission, and personally prepared the standards for the Management Analysis Series, which was designed, among other things, to help Classifiers to re-evaluate Records Management jobs in the new perspective of the Management functions. His message is timely and should be of vital interest to all of us. His subject is "The New Management Analysis Series as It Applies to Records Management People".

It is a pleasure to introduce Mr. Robert J. Trudel.

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A copy of Mr. Trudel's address is attached.

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A question and answer period ensued following the address. The meeting was adjourned at 2:45 P. M.

ADDRESS OF ROBERT J. TRUDEL
OCCUPATIONAL SPECIALIST OF THE CIVIL SERVICE COMMISSION
BEFORE THE
USDA RECORDS MANAGEMENT COUNCIL - OCTOBER 11, 1956

"THE NEW MANAGEMENT ANALYSIS SERIES AS IT APPLIES TO RECORDS MANAGEMENT PEOPLE"

Mr. Chairman, members and guests of the Department of Agriculture Records Management Council, it is indeed a pleasure to be able to meet with you this afternoon to discuss the new standards for the Management Analysis Series.

Our subject for this meeting is this little booklet of exactly seventy pages representing the fruit of almost five years of work, study and discussion by a very large number of people.

In discussing this standard with you, I would first like to discuss briefly how this particular standard evolved; secondly, some of the more important features of the management analysis standards; and finally, describe in general terms the grade level structure.

Records management is not an especially new occupation, but it received a great impetus in the Federal Government as the result of the recommendations of the First Hoover Commission in 1949 and the passage of the Federal Records Act in 1950. By 1951, the Civil Service Commission established a new series titled "The Records Management Series". This, of course, consisted only of a definition of the kinds of jobs to be included and did not provide standards for the classification of those positions. Consequently, in 1951 and 1952, the Commission began the development of classification standards for the Records Management Series. At the same time the Commission also began a separate project to revise the standards for the Organization and Methods Examining Series which had been originally published about 1945.

By February, 1953, tentative drafts of both standards had been prepared and were issued under our normal practice to the agencies and others for comment. The comments received indicated a very substantial amount of dissatisfaction with the two drafts. Among the comments made were those to the effect that the two series should be combined to make one; that the grade levels were inconsistent between the two series; that the drafts were actually inaccurate with the jobs not realistically described; and that there were other defects in the draft.

After taking some time to consider these comments and what could be done about them, the Civil Service Commission, in April through June, 1954, engaged in a rather unusual procedure in standards projects. We hired a special classifier to make a fact-finding study of both organization and methods examining and records management jobs to determine whether or not these comments described a problem as severe as they seem to describe. The special study confirmed the comments and a decision was made to rewrite the entire standard to recombine the occupations, to correct the facts and to bring grade level consistency to these jobs.

By July, 1955, a new tentative draft had been issued which combined the series, suggested new series in job titles, (you may recall that the tentative draft used the title of Management-Adviser) a new specializa- tion structure about which we will say more later, and proposed con- version of the then existing Records Management Series to Records Dis- position Series.

By Fall of 1955, we had received and evaluated the agency comments. There was some but not extremely heavy objection to the titles which were subse- quently changed to management analysis. There were objections to the establishment of a Records Disposition Series and this work was subse- quently included in the Management Analysis Series. There were some ob- jections to the specialization structure provided and some revisions were made in this matter. There were also minor revisions suggested to the grade level structure. With the making of these changes, the standard was published in December, 1955.

We can now discuss some of the more important features of the standard. The first of these is the coverage of the series itself. What is to be included in this series was perhaps the most important issue to be settled during this project. The series now includes the analytical work which was formerly classified in the Organization and Methods Examining Series, in the Records Management Series and in certain other series. You may recall that the series definition for the Organization and Method Examining Series formerly contained some restrictions which placed certain types of this work in various subject matter series. The new series excludes clerical work. For example, it excludes records disposal clerical jobs which are now classified in the Mail and File Series. However, analytical work in the field of disposition of records is now included in the Manage- ment Analysis Series.

We might profitably take a minute or two to consider what this standard includes under the term "analytical" work. Webster defines analysis as "an examination of component parts separately, or in relation to the whole." While this gives us some idea, perhaps we can expand this a bit. Actually I have no illusions that I can suthoritatively describe analytical work in such precise terms that every possible situation will be covered. At best, I can but give an idea of what the term means to me.

Analysis is a process of problem solving which includes fact-finding, evaluation of those facts, and choice or development of a solution or course of action. But note please, that to be analytical as the term is used in the Management Analysis standard, the solution generally should not be entirely obvious from the facts. There must be a choice of a number of solutions, each of which is appropriate in some degree. The selection of a solution must require weighing of the facts, prediction of possible results and the use of judgment based upon a body of knowledge and principles. Note also that problem solving in which the solution is based on regulations, directives, prescribed precedents or similar rules is not covered by the term, analytical, as used in this series.

There are certain paragraphs in the standard which relate to specific exclusions of particular types of work from this series. The first of these is management analysis work which is restricted solely to industrial and shop operations. There is also an exclusion from this series of positions which are concerned with project planning for mechanical tabulation work. Another exclusion from this series are positions of line supervisors, and the standard discusses briefly the limitations upon the use of this standard in evaluating line supervisory positions. Also excluded from this series are positions which are concerned full time with the development and management of incentive awards programs. This perhaps requires some explanation. Incentive award programs can be and usually are established to serve two purposes. The first of these is the improvement of management itself. The second is for the utilization of the incentive award program in the overall personnel management program of the agency. It was our feeling that the planning and execution of an incentive award program typically requires both personnel and management knowledges and abilities and hence cannot be appropriately included in this series. Most such positions are classified in the GS-301-0 series.

New titles have now been provided for these jobs. The titles now provided by the draft are Management Analyst, Supervisory Management Analyst, and Management Analysis Officer. These replace such former titles as organization and methods examiner and records manager.

The specilization structure in this new standard is rather unusual in the practice of the Civil Service Commission. One type of specialization which has been provided is by the kind of subject matter studied or analyzed. It is in this type of specialization that we have departed from our usual practice. This departure is considered to be experimental and the standard itself states that a special report will be required in the future as to the results which have been obtained. Allow me to read the specific provision from the standard.

"It is recognized that occasional positions may exist which are concerned with a single subject matter and which require, for some reason which is demonstrable, a more intensive knowledge of the particular subject matter than can normally be expected to be acquired on the job in a reasonable period of time. Such knowledge of the subject matter, however, is not the primary qualification requirement of the position. It is not considered practical, because of the possible variety of subject matters, to provide such specialized titles in these standards. When such positions are classified, there must be added a specific, descriptive, parenthetical addition to the title which is otherwise appropriate...and ... such additional parenthetical titles need not be approved in advance by the Civil Service Commission..."

Many of you will recognize that the relative freedom of choice of these parenthetical titles is a departure from the usual Commission practice.

The second type of specialization provided in this standard is by the kind of management analysis function or work. Allow me to read to you the specific language in the standard which describes the use of this type of specilization and the titles which have been provided.

"It is recognized that positions exist which are concerned with a single kind of management analysis work and that such positions require a lesser breadth of qualification requirements than do positions with broader and more varied work assignments; and, further, that experience in such restricted positions does not of itself qualify the incumbent for positions of greater breadth or concerned exclusively with a different aspect of management analysis work."

The specific kinds of work which were believed to meet this criteria are the following: work measurement, work simplification, document procedures and control, forms development and control, correspondence procedures and control, reports management, directives management, files analysis and design, communications analysis and design, records scheduling and disposition, engineered time standards and manpower utilization and control. It can be said at this point that the Commission does not expect that these specializations, nor those for the subject matter analyzed, will be used extensively. It is our feeling that the great majority of management analysts are engaged in a more general type of study and posses a more general type of qualification and consequently that the specialized types of jobs are quite rare.

At this point in our discussion we can turn to the specific grade level structure provided in this standard. I shall not discuss the grade level structure in sufficient detail so that you can classify your own position on the basis of this talk. For this detail, you will have to turn to the standard.

The Civil Service Commission in its standards uses eight basic factors in evaluating positions. These eight factors have all been used in the Management Analysis Series.

The first of these factors is nature and variety of work.

The second factor is the nature of supervisory control exercised over the work.

The next factor is the nature of supervisory control over the work of others.

Next is the nature of available guidelines for performance of the work.

The next factor is originality required.

The next factor is the purpose and nature of person-to-person work relationship.

Another factor is the nature and scope of recommendations, decisions, commitments and conclusions.

The last of these factors is the qualifications required.

As you have long since suspected the Commission has formal definitions for each of these factors. I do not intend to burden you with them this afternoon.

These factors are not magic. They are used to insure that the standards writer and subsequently the classifier consider every pertinent point in evaluating the positions. Other classification systems use other lists of factors. All of these lists work so long as they are complete.

The management analysis standard uses all eight factors. In this discussion this afternoon, I will not describe in detail the factor values except those for nature and variety of work. I would ask, however, that you keep in mind that all of the factors are present in this standard, that all of them have been used in determining the grade levels appropriate for this work, and that all of them will be used by classifiers in evaluating individual positions.

We can begin our discussion of the specific grade level structure in this standard by looking at the grade level structure which is used generally for the professions and for other occupations which are similar to the professions.

In the professions, the GS-5 level is the trainee level. Here is a job of an individual who has completed his educational work and is now receiving instructions in performing a variety of simple work, often selected for its training value and closely supervised.

The GS-7 level in the professions could be characterized as an advanced trainee position. At this level the employee works on his own to some extent although usually he does very simple work and receives relatively close supervision. We should note, however, that some positions exist at both this and the GS-5 level which are not trainee positions but are restricted permanently to very simple work.

The GS-9 level in the professional and quasi-professional occupations consists of two types of positions. The first of these includes work which is of less difficulty than is normally assigned a fully trained professional worker with this work being done under rather general supervision. The second type of position at the GS-9 level involves work which is of the normally difficulty found in fully trained professional positions but which is performed under closer than usual supervision.

The GS-11 level contains work which is characteristic of that done by a fully trained professional worker under rather general supervision. This is the level at which the fully trained worker is expected to handle any type of assignment of normal difficulty in his profession.

The GS-12 level in the professions is the level at which we find work which is substantially more difficult than is normally assigned to fully trained workers. It is work which requires of the employee ability which is substantially above the normal.

Grades GS-13 and above in the professions include work which is of sufficient difficulty as to require the services of an expert. I shall not try this afternoon to characterize each of these levels but will leave this point with the statement that there obviously are degrees of expertness and degrees of difficulty of the problems to which the experts may be assigned. These degrees of difficulty affect the grade level of the positions.

The grade level structure of the Management Analysis Series generally follows this pattern, even though management analysis work is not recognized as professional in nature.

Since this grade level structure applies to non-supervisory positions, let us follow these jobs through the standard and return later to the supervisory positions.

The management analysis standard is divided into two parts which each discuss different kinds of positions. Part I includes positions of Management Analysts Grades 5 through 15. These are essentially the non-supervisory positions in the series. Part I also includes positions of Supervisory Management Analysts Grades 7 through 15. Allow me to read to you the paragraph from the standard which describes the jobs in Part I. The language in the standard is probably clearer than I can use this afternoon.

"Part I contains standards for positions which are principally concerned with the conduct of specific assigned projects but not with the planning, organizing, promoting and directing of an overall management analysis program. Included in Part I are standards for such specific kinds of positions as management analysts (a) serving as members of a team to assist a higher-graded analyst; (b) assigned to a variety of projects, problems, or tasks; (c) assigned to continuing study of one or more organizational units or to one or more segments of operation, either as a member of the organization served or as a member of a management analysis unit; (d) serving as leaders of teams typically assembled to work on an individual specific project; or (e) serving as supervisors over permanently assigned staffs of lower graded management analysts when responsibility for planning, organizing, promoting, and directing the overall management analysis program is located in other positions or at higher organizational echelons."

At this point we can turn to a discussion of the specific devices used in this standard to measure the difficulty of problems for the non-supervisory positions in Grades 7 through 12, for the standard really is no more than a statement of the means used to measure the difficulty of the problems assigned to management analysts coupled with indications of what level of problems are appropriate at each grade level. It may be a matter of interest to you that the standard requires consideration of 17 types of conditions in evaluating these positions.

The first element to be considered is the variety of management analysis functions which are performed. This relates, of course, to the number of different kinds of management analysis work which the employee performs.

The second is the number of organizations, processes, functions, etc., which are studied by the management analyst.

The third major element is the relative importance of the organization or functions studied. We all recognize that not all organizations and not all functions are of equal importance in this Government.

The fourth major element to be considered is the relative difficulty of the work processes or functions which are analyzed. This element is broken down in the standard into several sub-divisions. These are: the level of difficulty of the subject matter itself; the variety of work studied; the stability of the work studied; the stability of the organizations studied; the degree of repetitiveness of the work studied; the degree of flexibility in the organization or process which is permitted by legislation by higher echelons, or by other authorities; the relative degree to which there is variation in the work studied from task to task; and the degree of interrelations or interactions of one task with others.

The next major factor to be considered is the degree of coordination required between the work being analyzed and the work of other organizations.

Also to be considered is the degree to which the solutions anticipated or suggested involve change in the basic legislation controlling the function or organization.

Finally, consideration is to be given to the resources and limitations from which the solution must be drawn. This element is further broken down into the following: degree of reliance on established standard principles, techniques and methods; degree of reliance upon established precedents; supervisory or other instructions and limitations; and finally the degree of change from existing practice which is expected to result from the study.

The seventeen criteria are further defined in the standard by the use of specific assignments which are illustrative of the grade levels.

The measurement of the problem levels which are appropriate at Grades 13 through 15 in the non-supervisory jobs, the so-called expert level, is not so easily stated. At these grade levels the positions differ more widely one from another; however, at these levels, the standard provides for consideration of the number of management analysis functions performed; the extent of coordination of the organization or process studied with other organizations or processes; the importance of the legislation changes required; and the difficulty of the specific assignment which is described in the standard primarily by the use of specific examples or illustrations rather than by generalized criteria.

The standard also provides for supervisory positions in Part I. These, you will recall, are positions which are limited in their responsibility and do not include program planning and direction. It was our impression in studying this occupation that the number of positions of this type are extremely limited. The standard does not contain, therefore, specific standards for classifying this kind of supervisory position. It is our belief that these positions may be accurately evaluated by comparing them with the non-supervisory grade levels on the one hand and with the grade level standards for Management Analysis Officers on the other hand.

Part II of the standard covers positions of Management Analysis Officers Grades GS-9 to 15. Allow me again to read the specific definition of these jobs of the standards.

"Part II contains standards for positions which include responsibility for planning, organizing, promoting and directing an overall management analysis program and also for performing or supervising management analysis work. Some positions covered by the standards in Part II may have no subordinate staff or the management analysis work may be performed in and by lower organizational echelons or in and by field establishments."

In both parts of this standard the GS-15 level is so written that it permits positions to be evaluated at even higher grades if this evaluation is proper.

All grades in Part II of this standard are measured by evaluation of the total program for which the Management Analysis Officer is responsible. This may be contrasted with the method used in some other standards of basing the grade level of the top position upon the grade levels of the subordinate staff. However, let me explain that in this standard the value of the program directed or supervised is measured, in the lower grade levels of Part II of the standard, by the same criteria which are used for evaluating non-supervisory positions. However, this criteria, in the case of the Management Analysis Officer positions, is applied to the entire program for which the officer is responsible whereas at the non-supervisory levels the criteria is applied to the problems of each individual worker.

Under this method of evaluation the grade levels of the subordinate jobs may differ widely at different times and under different methods of assigning work to the subordinate workers, without affecting or changing the grade for the top job.

Therefore, for Grades 9 through 13 the standard is based upon the problem characteristics described in the non-supervisory levels at Grades 7 through 12 with an appropriate addition to the grade level to cover the added responsibilities.

Grade 14 and 15 in Part II of this standard are based upon program responsibilities which are directly stated in the standard. We could not use the non-supervisory levels as a basis for measurement for these two grades since Grades GS-13 and above in the non-supervisory positions are expert levels and no management analysis unit would seem to require work which is solely at the expert level.

Finally, I would remind you again that this discussion has covered only the nature and variety of work. The other seven factors all appear in the standard and are all important in grade level determination. These other seven factors, however, seem to fluctuate less from level to level than does nature and variety of work.

Ladies and gentlemen, I have already talked so long and tried to say so much that I have quite exhausted my allotted time, and probably you, too.

I will, therefore, not try to summarize what has been said but will instead say once again that it has been a pleasure and honor to meet with you this afternoon. Thank you.

Minutes of USDA Records Management Council Meeting
Held on November 13, 1956, at 2:00 P. M.
Room 331-W

Present:

Joseph Weeks	- ACPS	L. T. Milbourn	- FHA
J. J. Boley	- AMS	Allison G. Allen	- FHA
R. H. Lando	- AMS	Howard Hayden	- FS
Nira O. Smith	- AMS	William Clarke	- FS
Mildred O'Brien	- ARS	Mary G. Bryant	- Inf.
Paul C. Wirth	- ARS	Galen Yates	- Inf.
George Richards	- ARS	Bertha E. Dunton	- Lib.
C. D. Barrick	- ARS	W. Finney	- Lib.
J. P. Loftus	- B&F	Fred P. Herzer	- OGC
Howard Sears	- B&F	James L. Miller	- OGC
E. B. Bryan	- B&F	L. E. Roberts	- OGC
Anna Mae Reid	- CEA	Margaret Sullivan	- Pers.
Mary Lee Butler	- CEA	Donald Simon	- P&O
Ruth Donovan	- FAS	Peter J. Doyle	- P&O
Oneta Smith	- FAS	H. W. Berger	- P&O
Felton E. Robey	- FCA	Morris Kaufman	- P&O
Mildred R. Farrow	- FCS	Fred Hoyland	- P&O
Beulah Watson	- FCS	W. T. Luman	- P&O
John Smiroldo	- FCS	Virginia W. Thatcher	- P&O
C. V. Trowbridge	- FCIC	Dorothea E. Wallner	- REA
James P. Bolton	- FES	Joseph K. Allison	- REA
Van O. Milton	- FES	Nuel Hurtick	- SCS
Gardner Walker	- FHA	R. B. Heenan	- SCS
K. N. Rathjen	- FHA		

Mr. Walker, Chairman: The November meeting of the USDA Records Management Council will please come to order. We welcome both members and guests.

Before we hear our speaker today, I want to introduce to you our new and very efficient Secretary to the Council. She is also Mr. Luman's secretary and works with our colleagues in the Records Administration Division of Plant and Operations, Mrs. Marion Cope.

You will note we are meeting on Tuesday. Future meetings will be held on the second Tuesday of each month because we can get this conference room.

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Mr. Donald Simon of the Records Administration Division was then called upon to explain in detail the Bar Chart of Records Holdings and Disposition. The chart visually portrays the progress made in the field of records disposition for the last seven years.

Following Mr. Simon's explanation of the Bar Chart, Mr. Peter J. Doyle introduced Mr. Bill Clarke, a new Records Management Council member from Forest Service.

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Mr. Walker, Chairman: All of us have an interest in Penalty Mail and the reimbursement procedures. Some of us have more direct interest than others. However, your Steering Committee has had several requests for a discussion in this area of work and that is our program today.

Our discussion leader is a Management Analyst on the Fiscal Management Staff of the Department. He has 15 years of Government service in various areas of Management aimed at improving operations. We will have a question and answer period after we have heard him.

It is a pleasure to introduce Mr. Howard Sears.

Mr. Sears: Benjamin Franklin, as you know, was renowned for his wisdom and farsightedness as an inventor, printer, journalist, philosopher, diplomat, and the first Postmaster General of our country. However, had he been endowed with an even greater foresight he might well have used his influence, while sitting in on the drafting of our Constitution, to include in this document an appropriate sentence or two which would have settled once and for all the matter of whether and how the Executive Departments should pay for official mailings. Had he done so, we might have been spared all the trials and tribulations experienced down through the years in administering the numerous laws and regulations which have been prescribed for this area of operation. A few of the most recent laws might be reviewed briefly as the background for today's discussion.

1. The Penalty Mail Act of 1944, required the various Departments and agencies to pay for penalty indicia mailings at a specified flat rate, based on the number of penalty indicia items used annually. Payments went into the miscellaneous receipts of the Treasury, rather than to the Post Office Department. One objective sought by the Congress in passing this legislation was to curb the dispatch of so-called "propaganda materials" which Government agencies reputedly were sending through the postal service free of postage.

2. The Penalty Mail Act of 1948, is the basic legislation governing the present penalty mail procedures. This Act dispensed with the payments as required under the Penalty Mail Act of 1944, sets forth certain stipulations as to the proper use of the penalty mail privilege, and provides for the accountability of penalty indicia materials procured. This latter provision resulted in furnishing the Post Office Department with a copy of all purchase orders used in procuring penalty indicia items as well as with annual inventory reports which made available to that Department appropriate data for reporting to the Congress.

3. P. L. 286, 83rd Congress, Aug. 15, 1953, amended the Penalty Mail Act of 1948 by requiring that there be transferred to the Post Office Department, as postal revenue, the equivalent amount of postage due on all penalty matter transmitted through the mails. The passage of this legislation was in line with the Post Office Department's program to eliminate its annual operating deficit. As you have no doubt noted in the press from time to time, Postmaster General Summerfield has vigorously supported postal rate increases and other measures which would assist in accomplishing such an objective. Some people opposed to postage rate increases have alleged that the "free" mailings of the Executive Branch were responsible for the deficit to a large degree. The passage of this Act enabled the Post Office Department, in response to such allegations, to maintain that free postal services were no longer being provided the various agencies. Although the Post Office Department may have looked upon their new source of revenue with considerable pride and pleasure, it proved to be no simple matter for this and other Departments to determine "the equivalent amount of postage" due. You will recall that such a determination involved the costly task of initiating and maintaining voluminous record-keeping and reporting procedures with respect to the class and weight of each item mailed both here in Washington and at all field stations. It was this onerous and costly procedure of determining the equivalent amount of postage, in which many of you participated, which drew the attention of the recent Hoover Commission. The reports of that Commission to the Congress in January, 1955, stated that the expenditure of $3,800,000 by the various Departments to determine how much they owed the Post Office Department ($38,000,000 actually reimbursed) was far out of line with the benefit obtained. They further stated, "There is no apparent reason why such a complicated reporting system must be used..." and recommended that "The Post Office Department, in cooperation with the Bureau of the Budget, develop a simpler and less expensive method for determining the postage costs of individual agencies." These recommendations apparently were primarily responsible for the revised Post Office Department instructions issued in September, 1955, providing for the more simplified procedures under which we operate today. These instructions also set the stage for extension of the reimbursement arrangement to cover other postal services (such as air mail and registered mail), a matter currently under consideration by agencies of this Department.

4. P. L. 451, 84th Congress, March 29, 1956, repealed the requirement for year-end inventory reports of penalty indicia items.

5. P. L. 705, 84th Congress, July 14, 1956, designed to close loopholes in the reimbursement procedures for penalty mail, provided in certain additional cases that the Post Office Department be reimbursed for the transmission of mail matter. Registry fees on mail dispatched from Washington, D. C., for example, which heretofore had been free, must now be paid for. Upon the passage of P. L. 286, it was initially presumed that the provisions of this Act required the payment of such registry fees, but a Comptroller General's decision issued shortly thereafter decided otherwise. Also, insofar as USDA is concerned, this Act requires the equivalent amount of postage for the formerly free penalty mailings of the Federal Extention Service State Directors

and of the State Agricultural Experiment Stations.

Pursuant to these laws and to the reimbursement agreements negotiated between USDA and the Post Office Department, we now determine the equivalent amount of postage due based on a procurement volume-unit cost formula. This cost is determined by each agency multiplying the total number of penalty indicia items acquired (after adjustment for spoilage, non-use, etc.) by the unit cost rate experienced for the fiscal year 1955, during which time detailed records of usage and costs were maintained. We are relying on acquisition data because the Post Office Department requires annual reports of items procured. This is "Step 1" of the Post Office program. "Step 2" goes further.

Extension of the reimbursement program to other postal services, in brief, involves paying the equivalent amount of postage on a quarterly basis for air, certified, registered, foreign, and special delivery mail, including packages over four pounds, etc., as is now done for penalty indicia mailings. Departments and agencies have the option of adopting this plan. Adoption entails each Department negotiating an individual reimbursement agreement with the Post Office Department. Such an agreement would involve submitting an estimate of the total amount of postage due annually, as might be determined by past experience, plus actual or spot check counts of mailings, program changes, etc., as described in greater detail in B&F Memorandum 376, Supplement No. 1, dated September 18, 1956.

Among possible advantages, one of the most obvious, of course, would be elimination of the time-consuming chore of determining the proper amount of postage for each item mailed, as ascertained by weight, class of mail, etc., and affixing stamps to each such piece. Elimination of stamps automatically eliminates additional expenditures of time and effort currently required by various fiscal procedures in procuring stamps, as well as the maintenance and audit of stamp accounts.

Such advantages can perhaps be visualized more specifically by a review of our current procedure used here in Washington for dispatching mail requiring postage. Under this procedure, the dispatch of an air mail letter, for example, sets in motion a rather extensive procedural operation. First, the originating agency must complete several entries on the Form AD-19, "Mail Order", and route it with the letter to the Department's Post Office administered by the Service Operations Division, Office of Plant and Operations. Here the proper amount of postage is determined and affixed with the cost being noted on the Form AD-19. At the end of the day the postage costs noted on all forms AD-19 are totaled and checked against the postage meter machine. These data and the day's accumulated forms AD-19 are then routed to the Accounting Services Section, Office of Budget and Finance, where they are checked and sorted by agency. The month's accumulation, by agency, is totaled and routed to the various agencies with SF-1081, "Voucher and Schedule of Withdrawals and Credits".

Form SF-1115, "Register of Bills Issued", is also prepared. Agencies check these data and further complete the SF-1081 which is then routed to the Treasury Department. Should this procedure, including a number of steps not mentioned, be subjected to a process chart, the resultant file would disclose a good example of "red tape".

This cumbersome AD-19 procedure could be eliminated by requiring such mailings to be dispatched under the indicia clause "Postage and Fees Paid - U. S. Department of Agriculture", with reimbursement made on a quarterly basis. It should be noted, however, that if we eliminate the AD-19 procedure, we also discard its very close "control" features. This procedure does provide in great detail such information as who mailed what, when, where and for how much postage, as well as the proper appropriation to be charged. Of course, the next pertinent question is, --to what extent is all of this information actually necessary? Also, the elimination of the AD-19 "problem" would immediately create another problem or question to be resolved--in fact one of the principal aspects to be considered --that is, what is the most practical, efficient, and sufficiently accurate means of determining the equivalent amount of postage due the Post Office Department?

Another advantage which might be expected from adopting Step 2 would be the expedited handling of mail in both the originating agency and the Post Offices. Referring once again to the AD-19 procedure as an example, it is quite obvious that by eliminating the need to affix stamps, the mail matter is "ready to go" upon being sealed. Not only does this aspect of simplicity serve to expedite mail through an agency's mail room, but it also permits the lone field man, in travel status for example, to dispatch his mail after hours at the corner mail box or at the local post office without the delay which would be entailed in obtaining the proper amount of postage stamps. Likewise, postal employees are not obligated to perform checking or computing calculations. As you know, in certain of our larger offices, the fourth class matter of several of this Department's agencies are dispatched under a permit number. Under this arrangement, here in Washington for example, the city post office determines the equivalent amount of postage for each item and provides the agency with a monthly bill. The postage on such mailings amounts to about $160,000 annually. Step 2 would permit this fourth class matter to be processed immediately upon its receipt at the city post office without the delay entailed by determining the equivalent amount of postage. This also effects an economy for the Post Office to the extent of the man-hours required in weighing packages equivalent to $160,000 worth of postage, a sizable work load which concerns the Post Office Department.

Certain questions concerning Step 2 which have been discussed with the Post Office Department may be of interest. They are:

1. <u>To what extent have other government departments and agencies adopted the Step 2 plan of reimbursement?</u>

Answer: As of October 1, 1956, 21 departments and agencies had adopted this plan. In addition, approximately 10 others have made tentative arrangements to adopt the plan as of January 1, 1957. (Postal Bulletin No. 19983, dated September 25, 1956, identified the 21 agencies.) The Civil Service Commission, the Budget Bureau, and the General Services Administration have adopted the plan. These agencies, of course, don't have an extensive field office structure and the related problems which would be presented in administering Step 2, as does the Department of Agriculture. However, examples of two of the larger agencies which have adopted the plan are the Navy (some 7,000 installations) and the Veterans Administration.

2. <u>To what extent has there developed problem areas in administering Step 2?</u>

Answer: No serious problems. One of the first questions arising from agencies which adopted Step 2 concerned if, or how, they might be reimbursed for the supply of stamps remaining on hand. This is reported to have been resolved by the simple procedure of returning the stamps to any post office. Another initial problem involved a lack of full understanding by some of the approximately 30,000 postmasters. As is so frequently the case, particularly in large organizations, a few just didn't "get the word", or rather they got it, but just didn't read it, and even after reading it, a few found it difficult to believe that stamps could be eliminated. One problem yet to be completely resolved pertains to mail received on which postage is due. Post Office Department officials indicate that they are now working on this minor problem. They were not cognizant of the nature or extent of any serious problems which the agencies themselves may have been confronted with in administering Step 2 internally.

3. <u>In submitting an annual estimate to the Post Office Department of postage costs covering Step 2 type mailings, would it be necessary to project the cost for each of the various postal services?</u>

Answer: No. It would not be necessary to show the respective amounts for air mail, registered mail, packages over four pounds, etc. For the most part, agencies here in Washington and their field stations have accurate records of the total postage costs previously expended for mailings of this type. Generally speaking, however, these records do not reflect the specific amounts spent respectively for air mail, certified mail, special delivery, etc., and insofar as the Post Office Department is concerned, it would only be necessary to project a cost figure for the total estimated cost of all such postal services now requiring postage.

4. <u>Is foreign mail covered by Step 2?</u>

Answer: Items mailed "to" foreign countries are covered; items mailed "from" foreign countries are not. There was some confusion initially on mail dispatched to foreign countries when Step 2 was first initiated. A number of postmasters throughout the country questioned the propriety of including this category of mailings since the postmasters themselves had never been granted this privilege.

5. Could payment for Post Office Box rentals be made under the Step 2 plan?

Answer: Post Office Department officials have indicated that while the payment for Post Office box rentals has not been included in any of the reimbursement arrangements previously made with the 21 agencies now operating under Step 2, they would definitely be inclined to make such an arrangement with the Department of Agriculture. You may be aware that it was a Soil Conservation Service employee's suggestion several years ago which was largely responsible for the present government-wide procedure of paying for these boxes on an annual basis, rather than on the former quarterly basis. Step 2, if adopted, would further simplify the payment aspects in this connection; in effect, it would eliminate the processing of hundreds of vouchers annually; the estimated equivalent cost for these rentals would merely be added to the quarterly payments which are otherwise made quarterly to the Post Office Department. Counter to what appears to be a clear-cut simplification in this instance, it would be necessary, of course, for the agencies concerned to determine the number and cost of Post Office boxes actually being rented. This would not appear to be difficult, however; in fact the determination of this particular cost appears to be relatively simple in comparison with determining equivalent costs for some of the other postal services.

6. Generally speaking, what may we expect the cost of our Step 2 type mailings to be, as compared with our regular penalty mail costs?

Answer: This relationship varies considerably and is contingent on the type of programs being administered by the agency concerned. The Step 2 type mailing cost of the Commerce Department, for example, is equivalent to about 37% of that for the penalty mailings of that Department; a comparable figure for the Civil Service Commission is about 14%. Military type operations, on the other hand, reflect an entirely different picture. Step 2 type mailings of the Department of the Air Force (now considering Step 2), are estimated to be nearly double the penalty mailings, and in the Navy, the parcel post cost alone is over one-half the penalty mail cost. The Step 2 mailings of most USDA agencies might be expected to follow the pattern of the other civilian agencies mentioned; however, a detailed study of this matter could prove otherwise.

7. <u>How do those agencies now operating under Step 2 plan to calculate the equivalent amount of postage due?</u>

Answer: A detailed response to this question was not obtained from representatives of the Post Office Department. It was indicated, however, that sampling techniques were used extensively. In some areas of operation where there is a very direct relationship between a particular work unit or end product and the volume of mail, the equivalent amount of postage is based on the work data. The State Department's passport work was cited as one organization using such a method. Also, where highly centralized mailing operations exist, a machine counting device may be used to determine volume. Actually, this is the "fly in the ointment" aspect of Step 2; it is this determination of equivalent postage costs which requires expenditure of man-hours on reports, analysis, record-keeping, calculations, etc. This is the sour or the salt which must be endured to enjoy the sweet simplicity of other Step 2 features. It would appear that the adoption or rejection of Step 2, and if adopted, the effectiveness of its operation, is largely contingent on this aspect. In other words, if agencies can devise the ways and means of determining relatively accurate data on postage costs in a simple and efficient manner to provide overall economies and benefits, both tangible and intangible, then Step 2 should be adopted. If, after careful analysis, it is foreseen that such an objective cannot be accomplished, the present status quo procedure should be continued.

It should also be pointed out that in addition to the interests of the Post Office Department, the Budget Bureau and the Congress will also be concerned in this matter of equivalent postage costs. Consequently, the method used in projecting these costs should be on a sufficiently sound basis to adequately support and justify budget estimates submitted in this connection. Properly budget and accounting principles also dictate that these costs be financed by the proper appropriation. Where an agency administers a number of programs financed by several appropriations, you can readily foresee a few complications which would come to the fore in adopting Step 2.

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Following Mr. Sears' talk, a question and answer period ensued. The questions asked from the floor and Mr. Sears' answers are as follows:

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<u>Mr. Allison, REA</u>: Could Step 2 be adopted in part?

<u>Mr. Sears</u>: The Post Office Department is apparently willing to negotiate an agreement which would not necessarily entail the total mailings of USDA. Insofar as the Post Office Department is concerned, an agreement could probably be made, if necessary, which encompasses (1) the total

mailings of only a few of our agencies, with the remainder continuing under present arrangements, or (2) Washington, D. C., mailings only of all agencies, with no field activities participating, or (3) all mailings of an agency, with certain exceptions. It is doubtful that an agreement could be reached concerning the inclusion of only certain classes of mail, i.e., covering only air and registered mail without also covering packages over four pounds, special delivery, etc. Generally speaking, it would appear that in this latter category, such a split coverage would not be very practical.

Mr. Hurtick, SCS: What substantiating records would be necessary for the payments made to the Post Office Department? How much more work would be involved rather than continuing payment by voucher?

Mr. Sears: Adoption of Step 2 would unquestionably require a certain amount of record keeping and reporting. Basic records, of course, would reflect actual cost data covering past operations. However, such data could not be used indefinitely, and additional records would be necessary to reflect upward or downward trends. The Post Office Department did not prescribe any definite formula. The Post Office Department is willing to negotiate individual agreements providing for different arrangements (periodic record-keeping, sampling, or mailings related to workload indices). By the same token, it may not be possible for the Department to prescribe one formula which would be equitable for all departmental agencies. The extent of paperwork would appear to be contingent on the type of program(s) and organizational structure of each agency. An agency, such as the Farmers Home Administration, for example, which has a large number of field stations administering essentially the same type program, would seemingly have considerably less paperwork than would agencies such as the Agricultural Marketing Service and the Agricultural Research Service with their different types and sizes of field stations administering various programs. Sampling tenchiques may be used, however, irrespective of organizational structure. Sampling in one instance might involve all field stations for a short period of time, or a few selected representative stations for a longer period of time. In another case, it might involve determining the correlation to the work unit involved. No doubt there are certain areas of operation where a sampling technique could not be expected to reflect accurately the volume of mailings for an entire year. The present arrangement is apparently operating smoothly, which might be expected after years and years of experience. The current challenge is to determine whether overall benefits would result by changing existing practices to adopt the Step 2 plan.

Mr. Heenan, SCS: With respect to parcel post over four pounds, wouldn't more records be needed than for the other Step 2 type mailings?

Mr. Sears: It is conceivable that this area would present a greater problem than others. Since the amount of postage required for a package

over four pounds can range from a few cents to several dollars, depending on weight and zone, it may be desirable to concentrate on developing a good unit cost figure. However, it is possible that the additional work which might be involved in this respect would be compensated for, insofar as volume of records is concerned, by the fact that relatively few packages over four pounds are involved, as compared to the total items mailed by any agency.

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The meeting was adjourned at 2:55 P. M.

Minutes of USDA Records Management Council Meeting
Held on January 8, 1957, at 2:00 P. M.
Room 331-W

Present:

Everett O. Alldredge	- GSA	Ruth Donovan	- FAS
Evelyn R. Warfield	- ACPS	Blanche M. Lauck	- FAS
R. W. Everett, Jr.	- AMS	Harold D. Walker	- FCS
R. H. Lando	- AMS	C. V. Trowbridge	- FCIC
William H. Hillenbrand	- AMS	Van O. Milton	- FES
Nira O. Smith	- AMS	James P. Bolton	- FES
James H. Hopkins	- AMS	Allison G. Allen	- FHA
Evelyn Hale	- AMS	Howard Hayden	- FS
Paul C. Wirth	- ARS	William F. Clarke	- FS
Edna E. Bushong	- ARS	Bertha E. Dunton	- Lib.
Gertrude M. Cunningham	- ARS	Leland E. Roberts	- OGC
Mildred K. O'Brien	- ARS	James L. Miller	- OGC
J. P. Loftus	- B&F	W. T. Luman	- P&O
Carl Stover	- B&F	Peter J. Doyle	- P&O
G. Howard Sears	- B&F	Joseph K. Allison	- REA
E. B. Bryan	- B&F	Nuel Hurtick	- SCS
Mary Lee Butler	- CEA		
C. G. Christianson	- CSS		

Mr. Wirth, Chairman: Ladies and Gentlemen, this is the fourth meeting of the USDA Records Management Council.

Does anyone have guests to be introduced? Are there any announcements?

Before introducing our speaker today, I have two questions for you:

1. Are we presenting the subjects having most interest to you?

2. What suggestions do you have for subjects to be presented at future meetings?

Nuel Hurtick, the Chairman of your Steering Committee will be happy to receive your suggestions. He may be reached on Extension 2288.

Our subject today is "Promoting Records Management in The Federal Government". We will have a question and answer period following the presentation. Our speaker has more than fifteen years experience in management work, most of it in Records Management. He served the Administrative Office of the Secretary of the Navy as Chief of Program Development for the Office Methods Division from 1946 to 1950. During the next five years, he was Chief of the Records Center Branch, Records Management Division, National Archives and Records Service. He is now Director of the Program Development Division, National Archives and Records Service. It is a pleasure to introduce our very good friend, Everett O. Alldredge.

Mr. Alldredge, GSA: By 1949, Federal records, like Aladdin's genie, had become a servant both benevolent and frightening. For, apace with industrial progress, there had come a revolutionary mechanization, specialization, and duplication in record making and record keeping. Records were being accumulated in fantastic quantities and maintained at excessive costs.

The first Hoover Commission spotlighted this situation dramatically with ample proof that record making and record keeping were the greatest consumers of salaries, space, and equipment of all the house-keeping activities of the Government. As a result, central machinery--in the National Archives and Records Service of the General Services Administration--was set up to cope with the problem. Face-to-face with this records problem of unprecedented magnitude and backed by the Federal Records Act of 1950, this agency considered its prospects.

What to do first? What next? And then what? Some hard choices had to be made, and fast. Limited resources compelled adoption of a broad policy comparable in principle to that which governed Allied World War II strategy ("Hold Japan until Germany is crushed, then crush Japan").

All of you know the responsibilities that the Federal Records Act of 1950 puts on agency heads for continuing an active records management program.

The Federal Records Act also felt it was necessary, if records management is to thrive, that it should be promoted at a Government-wide level in order that an atmosphere conducive to growth could be fostered. This responsibility of promoting records management fell to the lot of GSA.

Our first step in promotion on a large scale was the records management clinics.

Records Management Clinics. The General Services Administration is completing the second group of a series of records management clinics for Federal officials and agencies in the field designed to encourage and promote the simplification and reduction of paperwork, as recommended by the second Hoover Commission. Heads of offices, management personnel, and other field officials concerned with the problem are invited to attend the clinics which are held under the sponsorship of GSA regional offices.

The first series of clinics, scheduled during May and June, 1956, consisted of two-day sessions in nineteen large cities including Providence, Los Angeles, Pittsburgh, Detroit, and New Orleans--to give an idea of the geographical coverage. The current series, which has been cut to one-day sessions, has been scheduled in twenty-eight cities.

The clinics are planned with a maximum audience of about fifty, but in one city--Philadelphia--over 150 asked to attend. The sessions consist mainly of lectures keyed to graphic charts, followed by question and answer periods. Participants receive kits containing letter-size reproductions of the charts used during the lectures, seventeen check lists covering all aspects of records management, excerpts from the Federal Records Act of 1950, and a copy of the Hoover Commission Task Force Report on Paperwork Management.

These meetings supplement Interagency Records Administration Conferences which meet regularly in Boston, New York, Atlanta, Chicago, Kansas City, Dallas-Fort Worth, Denver, San Francisco, Seattle, and Washington, D. C., to provide training and exchange of information.

The clinics can run anywhere from one hour in length to two days in length. The most popular clinics have been those lasting either one day or two. Since we have enough charts for the two-day sessions the charted sessions are made possible by simply omitting portions of the longer presentations.

The clinics have been much more popular in the field than they have been in Washington. The reason for this is that they present a great many of the elementals which are pretty well understood by full-time records officers in Washington. So many of the records management people in the field are part-time, they are so pushed by daily operations, that it is difficult for them to see the full scope of the program and its potentialities.

Records Management Handbooks. As a means of giving wider range to technical know-how, a series of Records Management Handbooks have been planned, each to deal with a specialized area of records management. Three of these, Form Letters, Guide Letters, and Plain Letters, gave impetus to GSA's drive to increase the effectiveness and reduce the cost of the one billion letters being written each year by the Federal Government. The first two of these handbooks show how to obtain savings through proper use of form and guide (pattern) letters and present standards for their development and use. Principles in these handbooks are now being followed by a number of agencies, with significant savings in time and money.

The third handbook aims at eliminating unnecessary words and clarifying vague terminology--weaknesses not confined to Government personnel, despite rumors to the contrary. Agency heads have endorsed its precepts and have made it required reading. Handbooks on Federal Records Centers and on Applying Records Schedules have also been published, and other handbooks in the current records field have been drafted and will be published soon. All can be purchased from the Superintendent of Documents, Government Printing Office, Washington, D. C.

While technically not a part of this handbook series, a correspondence manual for Governmentwide use is also being developed. This will cover practices which lend themselves to standardization.

Workshops. Each of these is being planned to deal with a given aspect of records operations, such as correspondence, mail, or forms. These workshops will provide a natural follow-up of the clinics mentioned above and will be primarily for technicians and other personnel responsible for these functions in their agencies. The Records Management Handbooks mentioned will be used as textbooks, supplemented by visual aids and other training materials. The first of these workshops will cover correspondence management. Sessions will run five days and will be presented to groups of fifteen to 25 persons in the major cities where the clinics were held. January, 1957, is the target date for the correspondence workshops to begin.

Here our goal is to slice the cost of correspondence by providing sufficient orientation and training so that the person taking the course can go back to their agency and actually do something about the following:

STRIKE OUT poor practices.

Make your letters meet the 4-S Badge of Honor set forth in the GSA publication, "Plain Letters".

Make only essential copies. Do not send courtesy copies unless it is known that they will be needed. Reduce office copies to a minimum.

Cut out repeated reviews of letters. One careful review of routine letters is enough.

SYSTEMIZE your correspondence.

Adopt form letters. They save time and cost little.

Use forms. They are efficient for information that can be submitted briefly, without narrative.

Install Correspondexes. They are devices for using ready-made replies.

SAVE paper and filing space.

Reply on the face of letters. Replies to brief inquiries and requests which are without record value may be placed on the page with the original letter. No filing is required.

STAMP names, numbers, and actions, such as:

Dates, when not typed at the time the letter is prepared.

Endorsements. Approval can be quickly indicated by a stamp designed to permit insertion of date and initials.

SPEED UP typing production.

Make small corrections with pen. Slight changes in a letter should not require retyping.

Use dictating equipment. The stenographer is at other work while the letter-writer dictates.

Use electric typewriters. They are faster and less tiring than the manuals.

Use automatic typewriters. They produce repetitive letters with great speed and accuracy, require no proofreading.

SEND your mail.

By postal cards. No copies are retained.

In window envelopes. Typing the address a second time is eliminated. Letters are never missent in wrong envelopes.

In bulk. Letters to the same addressee are less expensive consolidated in one envelope than sent individually.

Clearinghouse. Information is being systematically assembled on new developments in commercial lines of records equipment, supplies, devices, and systems, on findings and developments of business and private sources engaged in standards studies, and on other projects of interest to records personnel. This information will be made available on request and significant items may eventually be published in a newsletter type of publication for distribution to all Federal agencies.

A library of material already published on records management has been collected and cataloged in collaboration with the National Archives Library. To acquaint records management personnel better with this growing body of literature, a records management bibliography and a glossary of records terminology have been published. To serve such personnel still better, sufficient copies of some of the outstanding and available material are obtained so that distribution can be made to agency records officials, public administration interns, and those attending records management training classes.

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Mr. Wirth: Thank you, Mr. Alldredge, for a most interesting presentation. Come back and visit us often.

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Following Mr. Alldredge's speech, a question and answer period ensued. Questions and answers are as follows:

Mr. Lando, AMS: On the Washington work shop, how many do you plan to give?

Mr. Alldredge: We plan to give as many work shops as needed, limiting each to 20 people. If more, it ceases to be a cooperative effort. If 400 want it, we'll have just as many as needed.

Mr. Doyle, P&O: Will work shops be held in the field?

Mr. Alldredge: Yes, for each main paperwork area in any major city. We have plans to include about 50 cities. Then our field staff will give workshops in individual stations, when feasible.

Mr. Everett, AMS: How soon can we get definite enrollment plans?

Mr. Alldredge: Two weeks.

Mr. Lando, AMS: Who has the immediate responsibility for this new organization, the Program Development Division?

Mr. Alldredge: I do. Each work shop has one person who is responsible for material. The next work shop will be in May on Mail Handling--a two day work shop, handling mail in a big office and handling mail in a small office. There will be a work shop on forms--two weeks divided several ways. Groups interested in forms will attend forms sessions full time, etc. Over a five year period, the plans are to have two

work shops each year. Clinics can be done any time. Then after five years, there will be 10 work shops in our repertoire. We believe that by doing it that way, we can cover in some detail all phases of paperwork management.

Mr. Luman, P&O: Whom do you propose to bring in during January?

Mr. Alldredge: One person from each region--chiefs of current records staffs.

Mr. Sears, B&F: Has GSA ever considered audio-visual methods for use in these work shops?

Mr. Alldredge: Yes, it is too expensive, however. It would cost about $15,000 and the cost is not worth it. That was the lowest figure estimated and that included lots of free help from various organizations.

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Mr. Joseph P. Loftus announced that there had been established in the Department a new staff office, the Office of Administrative Management.

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The meeting was adjourned at 3:05 P. M.

Minutes of USDA Records Management Council Meeting
Held on February 12, 1957, at 2:00 P. M.
Room 331-W

Present:

Joseph P. Loftus	- OAM	Oneta Smith	- FAS
Joseph Weeks	- ACPS	Felton E. Robey	- FCA
William H. Hillenbrand	- AMS	C. V. Trowbridge	- FCIC
R. W. Everett, Jr.	- AMS	Harold D. Walker	- FCS
Mildred K. O'Brien	- ARS	Mildred R. Farrow	- FCS
Paul C. Wirth	- ARS	John Smiroldo	- FCS
Edna E. Bushong	- ARS	L. T. Milbourn	- FHA
C. D. Barrick	- ARS	Allison G. Allen	- FHA
Maude H. Miller	- ARS	Gardner Walker	- FHA
Gertrude Cunningham	- ARS	William F. Clarke	- FS
Pearl P. Rupert	- ARS	Howard Hayden	- FS
E. B. Bryan	- B&F	Mary G. Bryant	- Inf.
Mary L. Butler	- CEA	Bertha Dunton	- Lib.
D. A. Currie	- CEA	A. Lyree Magruder	- Lib.
Clarke A. Paulsen	- CSS	W. T. Luman	- OAM
Sara Cohran	- CSS	Fred C. Herzer	- OGC
E. S. Thompson	- CSS	James L. Miller	- OGC
William P. Jones	- CSS	L. E. Roberts	- OGC
J. L. Talbert	- CSS	Margaret Schneider	- P&O
Blanche M. Lauck	- CSS	Dorothea E. Wallner	- REA
C. S. Adell	- CSS	Joseph K. Allison	- REA
Harold Rawcliffe	- CSS	Nuel Hurtick	- SCS

Mr. Walker, Chairman: The USDA Records Management Council will please come to order. Welcome Council members and guests to this, our February meeting.

Before introducing our speaker, I want to tell you that distribution of the minutes of the last meeting has been delayed on account of the illness of Mr. Alldredge, our speaker at the January meeting. We hope that he will soon be back in circulation, and that the minutes will be distributed at an early date.

Last month, in the halls of this building, there was a sudden stir; something had happened. The Secretary signed a document establishing an Office of Administrative Management as a Department staff office.

Our speaker today has the distinction of being the first (Acting) Director of this newly-established Office of Administrative Management.

Introducing Joe Loftus to this audience is almost superfluous. So many of you already know him in many ways. He has been a member of this Council for more than five years, and has also served well on our Steering Committee, giving freely of his time and advice. All of you may not know, however, that Joe has more than twenty years of Government service and,

incidentally, that thirty-five years ago, he and I were in school together in the wheat belt of Kansas. Joe was with the Social Security Board for seven years and then came to Agriculture in the Office of Budget and Finance, where he has been since 1945. In Budget and Finance, he has had various assignments in management and budgetary fields, and in 1954, he served with the task force which performed the USDA Field Services Review. But even with the distinction which has come to him as the Head of the new Office of Administrative Management, he is still just Joe to all of us.

Today, he will discuss for us the functions of the Office of Administrative Management.

It is a pleasure to introduce to you our associate in a new job -- Joe Loftus.

Mr. Loftus: I met a young lady once, a stenographer, I believe, at the time, who said, "It pays to be nice to everybody. You meet the same people going down that you do coming up." The moral here is that it pays to make friends in school. You never know when they may, in other circumstances, give you a helping hand.

Ladies and gentlemen of the conference, and Mr. Chairman, on the previous occasion when I appeared on a Council program, the subject discussed was penalty mail. Perhaps I should begin today where I left off on that occasion.

When the President signed P. L. 286 on August 15, 1953, requiring us to reimburse the Post Office Department for services rendered in handling penalty indicia mail, and when the Post Office Department issued regulations to accomplish this purpose, there was in the Department of Agriculture under our organization at that time this kind of a problem! Who would coordinate the necessary steps to comply with the new law and regulations?

The Office of Plant and Operations had responsibility for the Department Post Office and mail-handling incident to that function, which certainly ties them into penalty mail matters.

The Office of Information had responsibility for proper use of penalty indicia matter and quarterly reports on compliance that agencies had been submitting to the Office of Information for years.

The Division of Procurement and Property Management, then in B&F, had the responsibility for acquisition of penalty indicia materials and preparation of annual inventory reports.

The Division of Estimates and Allotments in B&F obviously would be concerned about budgeting funds for penalty mail payments.

The Division of Accounting in B&F obviously would be involved in whatever procedure might be devised for transfer of funds to the Post Office Department.

It turned out, too, that the Office of the General Counsel had a stake: --- the issue of whether the new law was applicable to mailings of the State Experiment Stations and the Directors of the State Extension Services.

Definitely, all agencies of the Department had a role, and a need to establish quickly measures for gathering sound data on penalty mail usage by postal class and by programs or appropriations chargeable for postage expense.

Without going back to try to establish precedent, I can at least remind you that the problem of coordinating a Department approach was assigned to the Fiscal Management Staff in B&F, which on the surface had no direct responsibility in the matter. We did, however, have this much precedent that Jim Talbert, as I recall it, back around 1944 to 1948, when a prior episode of penalty mail was involved had handled the thing in that same Fiscal Management Division in B&F.

The point is that Fiscal Management as such had no direct relationship or responsibility with penalty mail. It was, however, a staff unit available for that kind of coordinating effort. On numerous occasions, projects assigned to the Fiscal Management Staff were of that type or explorations of an area in which Department-wide problems were involved. Now the prologue that I have gone through with here is for the purpose of saying that I visualize the Office of Administrative Management as a mechanism of similar type with a charter perhaps more clearly defined and perhaps basic responsibilities of greater scope, but, in essence, it is the same operation that we used to have in Fiscal Management.

This much, I believe. The Department has for a long time needed such an Office which could be a focus for management effort not directly involved in budgeting, accounting, procurement, personnel work, or even records management among the varied administrative services carried on at the Department level.

I'm going to risk some documentation here but, if my research turns out to be faulty, I'll fall back on Jim Talbert's memory because I think he's going to remember lots of these things. A staff unit was needed at the time there was established an Administrative Council back in February, 1940, which brought together staff office heads and other Department officials "to provide more permanently for Department-wide study and improvement in such matters as administrative improvements, economies in operations and related matters." The Administrative Council soon found plenty of problems to discuss, but slim resources for action. In the Fall of 1940, two alternative plans were advanced. Plan I would have required the several staff offices to assign people for joint programs or projects. That was based on the theory that selected people from B&F, Personnel or from Plant and Operations might be detailed from their jobs to some project or problem that the Administrative Council was concerned with. Plan II would have established in the immediate Office of the Secretary an organization for management analysis work.

William A. Jump, former Director of Finance, in a memorandum of comment said, "I do not consider that it will be necessary to have a large staff

or to attempt to perform all the work with the resources of this group. --------------------a limited number of mature people would make it possible to provide the directional influence and impetus that the Administrative Council thought was needed if some of the management aims that they foresaw should be carried out."

In 1945 or thereabouts a proposal was made to establish an Office of Organization and Administrative Planning. I have an undated draft which outlined functions and also proposed that the Secretary designate someone in his office ot provide general coordination of functions in the Department staff offices. That was a forerunner, so to speak, of the idea that we should have an Administrative Assistant Secretary. It was recognized, as early as 1945 at least, that the Department staff offices needed coordinating leadership.

Again in 1950, a work committee of the USDA O&M Conference recommended the establishment of an O&M staff saying, "--------------there is an important area in which Department staff assistance is not available. This area relates to improvement of organization, methods, and general management, as distinguished from the specific areas assigned to the existing staff offices." On that committee, as I recall it, were Earl Loveridge of the Forest Service, PMA Administrator Gus Geissler, Guido Hilbert, Head of the Bureau of Agricultural and Industrial Chemistry, and T. Roy Reid, the Director of Personnel. There was, at that time, evidence of agency support for the establishment of such an office.

Again, in 1953, when the Department was being reorganized, the Secretary asked for suggestions. The O&M Conference put forward a similar recommendation at that time.

In retrospect, you will observe that about every five years since 1940, there developed a proposal of some kind to strengthen and intensify USDA management efforts through a staff office mechanism of some type. During that period, personalities changed, Secretaries changed, and finally, we even had a change of administration. The issue, nevertheless, was a recurring problem.

More recently, in 1955, the Secretary became concerned about Paperwork Management in USDA. His concern apparently dates back to August 12, 1955, when the President's Cabinet took notice of Hoover Commission reports on Paperwork Management. As I understand it, the discussion in the meeting was interesting enough that the Secretary came back and asked Milan Smith, his Executive Assistant, to look into the matter. Mr. Smith drew Fred Babbel and Ernie Betts into a committee to study the problem. That committee sought the assistance of GSA people, specifically Everett Alldredge of the National Archives and Records Service.

You are all familiar, I believe, with the surveys subsequently made, inquiring into forms control and correspondence practices of the Department. Ten surveys were submitted. These reports pointed up the issues more forcefully, perhaps, than any previous effort to secure attention to broad scale problems of management in USDA. In addition to the reports

themselves, there were numerous consultations and exchanges of ideas. In consequence of all these developments, I think the establishment of the Office of Administrative Management can be attributed directly to the interest of the Milan Smith committee and the GSA survey studies that followed.

However, I think that we ought to take a realistic view of things in the perspective of time. Prior to the establishment of the position of Administrative Assistant Secretary, in 1953, there was not a true focus for management effort in the Department. When I came to USDA in 1945 there was in being an MIMU Program --- Management Improvement and Manpower Utilization Program. Down in B&F, Fiscal Management was looking after the matter from the improvement side. The Office of Personnel was looking after the Manpower Utilization side and the two combined to make the MIMU Program. By and large, however, the Office of Personnel was responding to policies and regulations of the Civil Service Commission; the Office of Budget and Finance was responding to policies and regulations issued from the Budget Bureau, Treasury Department and General Accounting Office; the Office of Plant and Operations was responding to policies and regulations of agencies later incorporated in the General Services Administration, primarily, as well as other central agencies. It is true that prior to the establishment of the position of Administrative Assistant Secretary back in the days of Assistant Secretary Hutchinson, then responsible for the USDA Management Improvement Program, an attempt was made in 1952 to secure an appropriation for a Management Staff. The Appropriation Subcommittee in its report on the 1953 Budget Estimates disposed of the matter by suggesting to the Department that provision might be made for such an office "within available resources".

That is, in 1957, what's been done. Two decisions were made:

1. Should the USDA set up an Office of Administrative Management?

   The decision was "Yes".

2. Should the 1958 budget estimates include additional funds for that purpose?

   The decision was "No".

With those two decisions made, the Secretary put us in business on January 7, by issuing Memorandum 1409 and No. 1410. Our resources of personnel, funds, and equipment have come from the Offices of Budget and Finance, Personnel, and Plant and Operations. Our functional responsibilities are, in part, derived from activities previously carried out in these offices. I refer to "organization analysis" formerly handled by the Office of Personnel, "records management" formerly in the Office of Plant and Operations along with activities on "committee management", and certain "management improvement" projects including "forms work" formerly assigned to the Office of Budget and Finance.

One function assigned to us dealing with "administrative issuances" has not heretofore been clearly delineated. Several others, such as responsibility concerning "reports" and "correspondence" might be described as neglected areas. In addition, we are expected to provide assistance to the Department's new Management Improvement Committee. This function is new; the others, perhaps can be regarded as Department functions which can be strengthened and intensified by the consolidation of staff resources and the definite assignment of responsibility that exists in the Office of Administrative Management.

As you will readily understand, we have up to now been occupied with "housekeeping chores" such as finding space and moving into new quarters. We have an address down on the first floor, Room 117-A, which is one corner of the Patio. Perhaps, after this meeting, all or some of you will have time to come down to pay us a visit. Actually we are well set up down there in a suite of rooms, 115 through 118. We will be very happy to have you visit us.

We have telephone numbers and I think they are known to all of you, at least in part. We have carried over Mr. Luman's extensions, 3535 and 3536, and we have a new set of numbers, 4505 and 4506.

Our staff, at present, includes the P&O people you all know --- Bill Luman, Pete Doyle, Virginia Thatcher, Don Simon, and Marion Cope; and from B&F Louise Harding and myself. That total is seven, and we expect to add three other people as soon as circumstances permit.

We have a charter, which covers five general areas. The charter provides that we shall work in the field of Management Improvement and that term, it seems to me, always covers the waterfront. This morning, I had a visit from Mr. Miles Horst. Mr. Horst is in the Office of the Secretary and has had considerable experience in public affairs, having come here from the Pennsylvania State Government. Well, as we discussed management improvement, I was trying to explain to him what it involved and I fell back on our functional statement which reads like this, "Initiate and give leadership to programs for improving management practices and work methods in order to attain more economical and effective administration in the Department's programs; study and evaluate operating policies and procedures with special attention to major management problems and recommend constructive changes; direct particular attention to systematic development of work programs, simplification and standardization, introduction of new work performance techniques and equipment, effective coordination of resources and elimination of duplication; provide staff assistance to the Department's Management Improvement Committee." I don't, at this moment, know what kind of Management Improvement activities we are going to engage in, but I tried to explain to Mr. Horst that it will always be something specific. We are not going to charge off on a white stallion to improve management in the Department of Agriculture in cavalier fashion. It will be some specific project, and I tried to illustrate it to him in terms of a project that is pending at the moment, namely copy preparation when publications and other kinds of material are going through the duplicating plant.

Let's think about it together to see what implications it may have. As I understand it, the duplicating plant has four people with varitype machines and other equipment which enables them to set various type sizes and do proportional spacing. If Mr. Weeks of ACPS had some publication that he wanted to send through the plant, he might go down to the folks there and say, "How can I best get this set up for duplication?" ---And they might say, "Well, you can set it up in various ways, but our people are all busy and, in fact, we can't do anything for you for two weeks."

Now I don't know whether that is the case or not, but with four girls doing that kind of work, and with the volume of production in this Department being what it is, I can see how it might work out like that. So Mr. Weeks might go back and explain to his agency that the duplicating plant is not giving the kind of service that they ought to, that they ought to be set up to swing in on a copy preparation job on demand and get it done. Well, you might then go and see Sam Gardiner and he would say something like this, "Some years ago we had 20 girls in the duplicating plant on copy preparation work. We kept them pretty busy and they gave good service, but then the Department got some appropriation cuts and the agencies found out they didn't need to send work to us to have copy preparation done in the plant. They had their own stenographers cut stencils, and so we found ourselves with people on the payroll that were not producing so we let them go. The reason we carry four and not five is because we can pay for four, but there just isn't enough continuing volume to pay for five."

Well, I don't know what the answer is. If the agencies of the Department want better service than they are getting in copy preparation from the plant, presumably there ought to be a way to provide it. If, on the other hand, the plant finds that the agencies are penurious at times and won't support the copy preparation activity, then it just isn't practical to provide it at that point. Maybe this copy preparation is something that ought to be done uptown by commercial firms. That would not impose any burden on the working capital fund under which the plant operates. It conceivably would give the agencies access to the facilities they need and maybe that is the answer. I say maybe, because until we study all angles of it, I don't know myself which way the management improvement lies. However, there is a problem of that kind in the Department right now, and when we go to work on it, we will think of ourselves as concerned with management improvement in the Department of Agriculture as effected by that specific type of project.

We have a second major function called Organization. By and large, agencies deal with their programs as best they can and when they find a need to reorganize their efforts to get a better attack on their problems, they come forward with a reorganization proposal. Well, in order to give the change Departmental sanction, it has to be reviewed. That becomes our job.

Thirdly, we've got Administrative Issuances --- a very challenging area of work. I am aware of things like this: that the Administrative

Regulations of the Department are already quite bulky. Over a period of years, I don't know how much more they might spread out. I do know that in CSS, their own internal regulations apparently took on such scope that they decided to get away from consolidated procedures. CSS is now issuing handbooks that provide detailed instructions for an activity like mail handling. Wherever you've got a CSS office, you presumably have some mail handling problems. Does that mean then that a complete set of CSS Regulations including something on mail handling should be at all those points? Or can you solve the problem by getting out a mail handling handbook and sending only the handbook to all those points --- --- putting it in the hands of people who handle mail and get your results that way? That's one approach. Another approach that intrigues me a bit is this: suppose the Civil Service Commission comes out with a regulation. Let's imagine they do it on February 12. Let's imagine it comes into the Department of Agriculture on February 15. The Office of Personnel has to go into production to pass it along to the agencies. When does it get out of the Office of Personnel? Let's imagine they release it by March 15 --- one month. By that time, it's in ARS and in the Forest Service and in AMS. Now, how long does it take the agencies to take that same regulation and get it out to Albuquerque, Schenectady, or wherever the people are that are affected by it? Well, let's imagine, it takes the agencies approximately a month and so we are up to April 15. Now if that were the timing, perhaps it should be regarded as satisfactory. I don't know what the timing is, but inquiry of that kind may be constructive in this area of administrative issuances.

Then we come to the area of Paperwork Management, broad enough to include forms, reports, correspondence, and records management. I will refer to this area in more detail at a later point. The last item is Committee Management and a few words about that may be of interest to you. I didn't know there were any particular problems involved in committee management. I have read in the newspapers that the Department of Commerce was criticized because of some committees in which business men were brought together to consider industry problems. I also read that the Attorney General thought a Government official should act as chairman of such an advisory committee, and that the secretary might well be a Government person. Well, I had observed about that much when I found out that the Office of Administrative Management would have committee management responsibilities, so I went to see Jim Austin who has been handling it up to now. He said, "Well, it's a long story, but I'll tell you this much. Last Spring, we had to make a report to a Congressional Committee and it was 1,500 pages long. It resulted in some printed hearings of about 750 pages, and so you got yourself into something if you've got Committee Management."

In our brief span of existence, there are already encouraging developments to stimulate our desire to serve agencies of this Department. For example, a one-day Forms Seminar with GSA participation was recently held in AMS. Pete Doyle from our staff was in attendance. Last week Joe Brandt, who handles the forms program in AMS, took me aside to display a revised form developed by Paul Huber which promises to displace eleven existing forms in AMS. Mr. Brandt is enthusiastic about enlisting the

trained help of other supervisors in realizing the objectives of the forms program in AMS. The activity works something like this: twelve or fifteen supervisors have a morning session and an afternoon session in which they are instructed in the analytical approaches to forms analysis and design. The individual supervisor is then encouraged to go back to his desk, pick up some of the forms with which he works, and try to improve them. Just to be sure he does, somebody from the organization concerned with forms calls on him and says, "Jim, how are you coming along on that forms revision you were going to do?" Jim might say, "Well, I haven't found a good form to work on yet." So together they look the forms over and select one. The supervisor might even get a little additional coaching from the forms man. Good results from this are alledged in the Federal Housing Agency. AMS apparently got very good results.

More recently we learned that Art Minor and Miss Donovan in FAS are ready to launch a correspondence improvement program. GSA has suitable material for such an effort. Virginia Thatcher is absent here today because she is attending a week-long pilot-session on correspondence at GSA. We expect to cooperate in the plans of FAS, and Bill Luman has been making such arrangements. I understand from Mr. Minor and Miss Donovan that they will begin with the Administrator of their agency and some 20 of the top officials and go through the whole organization in giving them instructive, practical hints on how to write a letter--not necessarily correspondence control procedures, but how to prepare and develop better written material.

The Administrative Assistant Secretary is most anxious to bring together the new Management Improvement Committee for the first meeting of that body. In that group we will have staff office heads, and from the individual agencies, the Assistant Administrators for Management or other top officials. The committee will provide a forum for discussion of management problems which can be a great stimulus to objectives which we have in common. For example, I've heard that in some agencies records management activities are reputed to get low priority. Perhaps, working with you, we can be of assistance in putting records problems before agency officials in proper perspective

Here's the how of it, or the way that I would hope it might work. We will be preparing the agenda for meetings of the Management Improvement Committee. If your group can point up the problems, pin-point them, so that we have not just a gripe, nor just a complaint nor just an unfortunate state of affairs, but an issue of some importance, we can undertake to get such matters on the agenda for Departmental consideration by the management improvement committee. I won't forecast results, but I do think we have an avenue of approach in that fashion that can be useful to you.

Let me summarize, then.

The Office of Administrative Management is taking on some big areas of work with a small staff. What we may accomplish will largely be done by agency people: --- that means we need and value good cooperative working relationships. Just to save time, if for no other reason, we hope you will feel free to come to us when you think our help can assist

you. For us to get out and canvass the Department, by personal visits, by questionnaires, or other devices, obviously would absorb a lot of our time. You can save your own time, perhaps, and ours, if you will bring the problem to us and not wait for us to get around. I hope we can intensify our efforts, and economize on time, by taking from you suggestions as to <u>what</u> your problems are and <u>how</u> we can make ourselves useful. The spirit, at least, is willing.

And with that, Mr. Chairman, I have finished.

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<u>Mr. Walker</u>: Thank you, Joe, for an interesting discussion of the functions of the new Office of Administrative Management.

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Following Mr. Loftus' talk, a question and answer period ensued. The questions asked from the floor and Mr. Loftus' answers are as follows:

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<u>Mr. Walker</u>: Now, I expect some of you have questions

<u>Mr. Talbert, CSS</u>: Joe, do you visualize a continuation of the Records Management field inspection from which I think we've all enjoyed considerable results?

<u>Mr. Loftus</u>: Well, Jim, I don't want to appear to be entirely a pauper, lacking funds for necessary travel. If there are any problems associated with field inspection, I suppose I'm not equipped to answer your question. If there are no problems involved, I would assume that we will do it. Now the reason I say that is because about half of our present staff as it is contemplated consists of records management people out of P&O. I told Mr. Luman and some of the others, "I hope you're going to go right on and operate the way you always have because I expect to be preoccupied with other matters in the immediate future."

<u>Mr. Talbert, CSS</u>: These records inspections have provided us with considerable benefit. They have helped in keeping our field offices well organized in the records field, and I am afraid that if the inspections were discontinued progress would be impeded.

Here's another problem, Joe. It would be my view that your organization is in a good spot to get more money if you can produce constructive results.

<u>Mr. Loftus</u>: That's right. We can carry the torch, but you folks have to deliver the goods. For example, when the management improvement committee comes together I would hope to make some capital out of the forms session held in AMS. I would hope to make capital out of what FAS does on the letter-writing and correspondence. We need examples

of problems that exist and ways of dealing with them. Successful results provide "cases" which can be used to strengthen your own programs and which give us opportunity to extend further the benefits you derive. We all learn from each other. To the extent that key officials come together in a room at the same time and discuss things among themselves, the net result, it seems to me, is all beneficial.

Mr. Walker: Are you going to take over the organization function from the Office of Personnel?

Mr. Loftus: Yes, we've got it. We have the files, and we've handled three charts to date.

Mr. Weeks, ACPS: ---And we clear all the charts with you?

Mr. Loftus: That's right.

Mr. Weeks, ACPS: Will you handle all management improvement reports?

Mr. Loftus: Yes.

Mr. Walker: ---And awards?

Mr. Loftus: No, Sir. Incentive awards and employee's suggestions stay in the Office of Personnel.

Mr. Weeks, ACPS: To what extent are you going to take over the Administrative Regulations?

Mr. Loftus: The service function, if you want to call it that, of preparing and duplicating and issuing Administrative Regulations will stay in the Office of Plant and Operations. However, we will be concerned with matters of policy, issuance of guiding instructions, and so forth.

Mr. Bryan, B&F: Joe, will you have responsibility for the Department's correspondence manual?

Mr. Loftus: Yes. When revision is appropriate, we will handle that work.

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The meeting was adjourned at 3:05 P. M.

Minutes of USDA Records Management Council Meeting
Held on May 14, 1957, at 2:00 P. M.
Room 331-W

Present:

Joseph Weeks	- ACPS	Val Trowbridge	- FCIC
R. W. Everett, Jr.	- AMS	Harold D. Walker	- FCS
William Hillenbrand	- AMS	V. Milton	- FES
L. T. Milbourn	- AMS	Allison G. Allen	- FHA
Edna E. Bushong	- ARS	Gardner P. Walker	- FHA
Gertrude M. Cunningham	- ARS	Mary G. Bryant	- Inf.
A. O. Dusenbury	- ARS	Zelma J. Hicks	- Inf.
Maude H. Miller	- ARS	Bill Clarke	- FS
Mildred K. O'Brien	- ARS	Howard Hayden	- FS
Pearl P. Rupert	- ARS	A. Lyree Magruder	- Lib.
Paul C. Wirth	- ARS	Peter J. Doyle	- OAM
Nora K. Schrider	- B&F	Joseph P. Loftus	- OAM
Doris E. Wood	- CEA	Donald J. Simon	- OAM
C. G. Christianson	- CSS	Fred P. Herzer	- OGC
Sara L. Cohran	- CSS	James L. Miller	- OGC
Clarke A. Paulsen	- CSS	L. E. Roberts	- OGC
Harold Rawcliffe	- CSS	James H. Austin	- P&O
Oneta Smith	- FAS	Joseph K. Allison	- REA
Ruth Donovan	- FAS	Dorothea E. Wallner	- REA
Felton E. Robey	- FCA	Nuel Hurtick	- SCS

Mr. Walker, FHA, Chairman: Good afternoon, ladies and gentlemen. The USDA Records Management Council will please come to order. The Steering Committee welcomes all of you to this meeting.

Today is election day. The By-Laws of this Council provide, among other things, that the election of Officers of the Council shall be held each year in May, and that newly-elected Officers will take office in September of each year.

The nominating Committee consisting of:

Randy Everett, AMS, as Chairman
Elmo Bryan, B&F
Joseph Allison, REA

has come up with what it believes to be an excellent slate of Officers. Our Steering Committee, through me, wishes to thank the Nominating Committee for its work in presenting the candidates.

Now the purpose of this election is to vote for a Chairman, a Vice Chairman, and three members for the Steering Committee for the 1957-58 term. Each agency, including the Office of Administrative Management, is entitled to one ballot. We assume that you voting members, or alternates for the voting members, are aware of your delegation.

Each voter should mark the ballot in accordance with the instructions on the ballot.

The nominee receiving the highest number of votes on the first ballot will be Chairman, second highest number of votes, Vice Chairman, and the names of the remaining candidates will be placed on the ballot to be voted on to fill the vacancies on the Steering Committee.

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The Chairman called for distribution of the ballots for Chairman and Vice Chairman. Candidates were asked to stand to be identified.

The Chairman then called for nominations from the floor - There being no nominations from the floor the vote was called, collected and counted.

Paul Wirth, ARS, was elected Chairman. William Clarke, FS, was elected Vice Chairman. The names of the other candidates were carried over as write-ins on the Steering Committee ballot.

The Chairman then called for distribution of the ballots for the Steering Committee. Candidates were asked to stand to be identified.

The Chairman asked for nominations from the floor. There being no nominations presented from the floor the vote was called, collected and counted.

Clarke Paulsen, CSS, and Mildred O'Brien, ARS, were elected to two-year terms, and William H. Hillenbrand, AMS, was elected to a one-year term.

The Chairman announced that the fourth elected member of the Steering Committee, Leland E. Roberts, OGC, would continue - thus fulfilling the second year of his two-year term. The Office of Administrative Management will designate its voting member and a Secretary at a later date, to complete the Council staff.

The Chairman requested the other members of the 1956-57 Committee and the Secretary to stand. He thanked them for their cooperation during the past year, and paid tribute to the splendid programs they had developed and the good work they had performed in the interests of the USDA Records Management Council.

Those receiving this recognition were:

Paul Wirth, ARS, Vice Chairman
Virginia Thatcher, OAM
Nuel Hurtick, SCS
Elmo Bryan, B&F
Mildred Farrow, FCS
Leland Roberts, OGC
Marion Cope, Committee Secretary

The Chairman announced that, as customary, no meetings of the Council would be held during the months of June, July and August.

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Mr. Walker: During the time remaining in this Council meeting, I want to discuss briefly the GSA "Plain Letters" Workshop as it is being conducted in the Farmers Home Administration. But first I want to tell you that every month more agencies in Government are picking up the ball on "Plain Letters" and developing some type of training in the art of letter writing for their employees.

Back in 1955, the Cabinet meeting notes of the President asked Cabinet Members to go back to their respective agencies and, in effect, do something to improve paperwork management. Every Cabinet Member did that. Some of them did it in one way, some of them in another way. The Secretary of Agriculture designated a committee to look into correspondence, among other things. This provided the initial current stimulus for certain phases of improved paperwork management in the Department, one phase of which is letter writing.

Under the leadership and guidance of the Office of Administrative Management, the General Services Administration today is putting on in the Department from time to time its "Plain Letters" course, or workshop.

FAS was the first agency in the Department to put on these workshops. They invited some agencies to have representatives participate. I was one of those representatives from the FHA. After the FAS workshops, we in FHA invited the GSA to put on two courses for us.

Now, in our agency, we started right at the top level. FAS did the same thing. But we organized two groups, including the Administrator, the Deputy Administrator, and the Assistant Administrators. These groups, consisting of 20 people each, reported to the classroom every day for four days for 2 hours and 45 minutes, saw the slides, listened to the script, and then worked the problems. By getting the top people interested in "Plain Letters," in writing letters better, in saving stenographic time, and in making letters clearer, we did a great deal to encourage those in other management and supervisory capacities to be interested in attending other classes.

We have also conducted two classes of our own of 20 people each, so that a total of approximately 80 employees have participated in these workshops to date.

In our workshops we also, under the sponsorship of the OAM, had other agency representatives join with us so that they in turn could go back to their agencies and request, through the OAM, that these classes be put on by the GSA.

The four principles in which this course stimulates thinking in letter writing are; shortness, simplicity, strength, and sincerity. This is called the 4-S Formula. Some of you may have been exposed to this formula. Those of you who have not are likely to be, and if you haven't been it's mighty well worthwhile for you to seek out in your agency a copy of this "Plain Letters" pamphlet, and have it handy at your desk to study as time permits.

Now shortly after this pamphlet was published, we sent it to our 43 State Directors with a request that they look it over and see how they could use it. They were asked to advise us of their plans for using it and tell us how many copies they wanted. Obviously, we got as many types of answers, almost, as we have State Offices. Some of them saw the possibilities immediately, sent us their programs, and requested copies. Some states have distributed this pamphlet to all County Offices.

At this time, I want to hand out to each of you a copy of the 4-S Formula. It's quite simple and to the point, and tells much that will help you to improve your correspondence. Recently, the OAM issued a sheet called "Common Sense in Correspondence." This is an excellent document. Some of you at the supervisory level may have seen it. It may not have filtered down to some of you, so I want to pass out a few copies of this also, so that each one of you can have a copy on your desk.

"Common Sense in Correspondence" is being sent by the FHA to every office level, because we believe that a County Office Clerk, with this outline at her elbow, will not only help her supervisor to write better letters, but where she has the delegated authority to prepare correspondence, it will help her to prepare better correspondence.

At our State level, this will be used as part of the training in those States which have developed a training program in "Plain Letters." We in FHA also plan to organize additional classes in "Plain Letters" here in the National Office.

I believe we, in this Records Management Council, can do much to help our agencies in stimulating interest in "Plain Letters," in the use of "Common Sense in Correspondence," and in cutting down, perhaps, the number of letter copies, because that, too, ties in with shortness. It's tied in with sincerity. It's tied in with simplicity. It's tied in with strength.

We, as the Records group of this Department, have never had, in my opinion, an opportunity as wonderful as the opportunity we now have to come forward with constructive plans, with constructive suggestions on improving paperwork management in our agencies and in the Department as we have today. The Office of Administrative Management now has a committee of top administrative officers of Agriculture to consider and work on paperwork management problems, and I think we can look forward to improved paperwork management in the Department.

Members of the USDA Records Management Council, it has been a pleasure to serve as your Chairman this past term. To our new Officers and Council members, we all join in wishing you much success in the term ahead.

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The meeting was adjourned at 3:00 P. M.

Minutes of USDA Records Management Council Meeting
Held on November 14, 1957, at 2:00 P. M.
Room 509-A

Present:

Margarette C. Blakemore	- AMS	Val Trowbridge	- FCIC
Nellie M. Fairley	- AMS	Harold D. Walker	- FCS
William Hillenbrand	- AMS	Bill Lavery	- FES
Theodore A. Pitts	- AMS	Van O. Milton	- FES
E. S. Sinclair, Jr.	- AMS	Allison G. Allen	- FHA
Ethel M. Terry	- AMS	C. Gordon Sproles, Jr.	- FHA
Edna E. Bushong	- ARS	Gardner Walker	- FHA
Gertrude Cunningham	- ARS	Bill Clarke	- FS
Aubrey O. Dusenbury	- ARS	Howard Hayden	- FS
Mildred K. O'Brien	- ARS	Charles G. Manley	- FS
Pearl P. Rupert	- ARS	Marie W. Henderson	- LIB
B. G. Spille	- ARS	A. Lyree Magruder	- LIB
E. B. Bryan	- B&F	J. P. Loftus	- OAM
Mary Lee Butler	- CEA	E. F. McMahon	- OAM
Doris E. Wood	- CEA	V. W. Thatcher	- OAM
C. S. Adell	- CSS	Larry Tornese	- OAM
C. G. Christianson	- CSS	L. E. Roberts	- OGC
J. C. Hamilton	- CSS	Margaret Sullivan	- PERS
William P. Jones	- CSS	Margaret Schreider	- P&O
H. Rawcliffe	- CSS	Joseph K. Allison	- REA
E. S. Thompson	- CSS	Dorathea E. Wallner	- REA
Oneta Bear	- FAS	Nuel Hurtick	- SCS
Blanche M. Lauck	- FAS	Lincoln Gallacher	- SCS
Felton E. Robey	- FCA		

Bill Clarke, FS, Vice Chairman: Good afternoon, ladies and gentlemen. The USDA Records Management Council will please come to order. Mr. Wirth, our Chairman, was called out of the city in connection with Defense work; therefore, I am again acting for him. Are there any guests to be introduced or announcements to be made?

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Clarke Paulsen, CSS, Chairman of the Steering Committee, mentioned that there would be no meeting in December. The next meeting would be in January, for which a very interesting program is planned.

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Mr. Clarke then introduced the speaker, William Jones, CSS.

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Mr. Jones: Thank you, Mr. Clarke. This afternoon we are going to show you the methods and techniques we employ in demonstrating and installing the subject-numeric system of classification and filing in our three thousand ASC county offices.

We are presently working with thirty-three of the 48 States. The system has been installed in the county offices of 20 States and we are conducting preliminary activities in the remaining thirteen.

Our working schedule within each State is fixed and limited to two days on preliminary visits to sell the system and develop the guide. A maximum of ten working days is allowed for installation activities in four pilot counties in four key farmer fieldmen districts. A district is usually comprised of from 10 to 14 counties. Each county in the District is represented by the County Office Manager and Chief Clerk at these meetings.

In planning our program, we felt that we should first develop a visual aid filing guide that would readily identify itself and be easy to use. We wanted to get away from the ordinary run of mimeograph - ditto guides and come up with one with personality and improved readability. We feel that we have solved the problem with our present guide.

The title of the guide is "A Uniform Filing System." This does not mean that it is uniform in the 3,000 counties in the 48 States. It does mean that it is tailored to the requirements and is uniform in all counties in each individual State.

The basic principles of the subject-numeric system are followed in each of the State guides, but the primary, secondary and tertiary subject may vary. In other words, if you were given two or more guides you would probably find that there is a variance in subject content. This is primarily due to differences in program operational areas and workload factors. The Midwestern States, with heavy concentrations of grain, have a heavy CCC Storage Structures Program. The New England States have little or no grain, so the subject is not incorporated in their guides.

We have applied every device to maintain our guides at an exact minimum of subjects and confined to a single-fold sheet of four pages. We consider this an essential feature of any guide and have been successful in this endeavor in the States we have worked.

While developing our guide, we were also searching for ways and means of speeding up the installation processes. The happy solution came to us by way of the incentive awards program. One of our men conceived the idea of pre-printed, pressure-sensitive tape labels for the primary and secondary subjects, the tape to be furnished in identifying colors for each subject category; i.e., white - Administrative; yellow - Agricultural Conservation Program; blue - Price Support, etc.

To complete our color-system package, we found that the GSA Federal Supply Center in Denver, Colorado, stocked a self-adhesive "Avery Label" in colors matching the tape which could be used for the third and fourth position subjects.

The pre-printed tape labels are procured under CSS contract from Topflight Corporation, York, Pennsylvania at 49¢ per roll of 60 labels. The "Avery Labels" are available at 50¢ per box of 248 labels.

The only other supplies used in installation processes are 1/3 cut grey, pressboard, guide cards furnished by the Shaw-Walker Company at $4.50 per hundred, and straight-cut, inexpensive kraft folders from GSA stock.

This is our systems package. It is complete and efficient. The mess, fuss and bother have been eliminated in the preparation of guide cards and folders. A complete system for a large county office can be prepared in from 1½ to 2 hours. The system works, the files are beautiful, and the county people seem happy with the total results. We are convinced that we have a pretty good county office Records Management Program. Our problem now is to stay on top of it.

To round out our total demonstration and installation program, we have developed and use training slides to indoctrinate county personnel in Records Management processes We will now show and briefly discuss these slides with you.

Slide No. 1 - Organization Chart.
The first thing we do is let the county people know who we are, where we fit into their activities and why we are in their office, so that they will better understand what we are trying to accomplish. The Records and Forms Management Branch, CSS, is located in the Administrative Services Division. Mr. John Hamilton is our Director. The Division reports to the Deputy Administrator, Operations, (DAO) who is responsible for the operations of the six service divisions in Washington and the eight Commodity Offices in the field. The DAO, through his service divisions and offices, furnishes services to the Deputy Administrator, Production Adjustment (DAPA), who is responsible for the operations of the State and county offices. Therefore, upon request from the DAPA, either through the DAO or the Division Director, we give Records Management services to the State and county offices.

Slide No. 2 - Records.
This is our primary subject category. You are all Records Management people; you know what records are, how they should be maintained, and what should eventually happen to them.

Slide No. 3 - Training Program - ASC County Offices.
This training program is designed to indoctrinate county office personnel in system methods and techniques and the fundamental principles involved in carrying out a good Records Management Program in their offices.

Slide No. 4 - Map of U. S.
As previously stated, we are endeavoring to install the system in all 48 States. We have completed installation in 20. During the month of December, we will make installations in Wisconsin, Kentucky and West Virginia, thereby completing three more. At the moment, however, we have thirteen installations pending. This adds up to a total of 33 States either completed or in process, with 15 to go.

Slide No. 5 - Clean-Up.
This is the essential clean-up or clean-out operation. You are all familiar with the situation of finding everything in the files but the records. Clean out the extraneous material and put the equipment and space back on a paying basis.

Slide No. 6 - Eenie, Meenie, Minie, Mo.
This depicts the "Eenie, Meenie, Minie, Mo - is it filed under A or is it O" files. Even the originator of the file only has a 25% chance of finding a specified paper. The rest of us are dead! The file is not serving a useful purpose, the records are not serving the purpose for which they were created.

Slide No. 7 - Disorganized File.
We are still on the same track - this file is in a little better shape, but the subject material is scattered throughout the files. The program or subjects are juggled back and forth wherever space is available. There is no continuity or correlation of subject material.

Slide No. 8 - Records are the Memory Function of an Office.
Since the records are the true memory function of the office, they should be organized and maintained to effectively and efficiently serve the day-to-day operating requirements of the individual office.

Slide No. 9 - Organized File.
This is our Target. The organization of files or records under a uniform system so that the integrity, continuity and correlation of the individual subject category is maintained as specified in the classification guide.

Slide No. 10 - Classification Guide.
Management receives immediate and innumerable benefits from the provision of a written filing guide and uniform system of filing. The guide is invaluable to the county office manager in the conduct of daily operations, training new employees, and improving the efficiency of his office. It provides an invaluable working tool for State Office Program Specialists, Program Reviewers and Farmer Fieldmen; CSS and GAO Auditors; and other personnel having authorized access to county office records, as well as personnel transferring from one office to another. It improves the effectiveness and efficiency of operation on State-wide and eventually a nation-wide basis.

Slide No. 11 - Construction of the Classification Guide.
The guide is constructed on the firm foundation of organizational functions and activities. The primary programs and administrative activities identify themselves as the Primary Subject categories in the filing guide, i.e., Agricultural Conservation Program, Price Support Program, Acreage Allotments and Marketing Quotas,Administrative, etc.

The Primary Subject "Administrative" was constructed from the blueprint laid out in the County Administrative Handbook. The Handbook is divided into the four (4) parts of (1) Organization, (2) Personnel, (3) Fiscal, and (4) General Services. The primary and secondary subjects are tailor-made to the operating requirements:

A - ADMINISTRATIVE
1 - Organization
2 - Personnel
3 - Fiscal
4 - General Services

Under the secondary subject A - 1 Organization, the county holds community elections and county conventions resulting in an accumulation of ballots, reports, etc. The county committee must maintain minutes of their meetings and other activities are carried on resulting in an accumulation of papers to be maintained. The guide is completed by the process of correlation of these activities back to the related subject:

A - 1 Organization
1-1 Community Elections
1-2 County Conventions
1-3 County Committee Minutes

The building of a guide along these functional and operational lines pays off in workability and satisfactory results received, for the reason that you have used familiar every-day working words and phrases as your subjects.

Slide No. 12 - Primary, Secondary and Tertiary Position Categories.
The primary position is essential to any filing system for identification of material filed. The secondary position is usually necessary to break down the volume of material for easy and efficient reference. The third position should be maintained at an exact minimum of volume and service requirements.

Slide No. 13 - Fourth Position Category.
Avoid the use of the fourth position, if possible. It is too far removed from the original subject to retain its working identity to the related subjects.

Slide No. 14 - Guide Card Position.
The 1/3 cut guide cards take the same position in the file drawer as in the guide. Primary Subject - 1st position; Secondary Subject - 2nd position; and Tertiary Subject - 3rd position. In other words, the structure of the guide and file drawer are identical, which increases the efficiency and workability of the file.

Slide No. 15 - File Drawer.
This is a complete assembly of guides and folders for a county office filing system, showing guide positions and color identification of subject categories. Pretty isn't it?

Slide No. 16 - Color.
Color gives that touch of glamour to the files that makes them a little more interesting to the people who constantly work with them. The primary purpose, however, is to provide a visual identification of subject and filing aid. For instance, the filing of a blue, Price Support, folder in the yellow, ACP, file should immediately be highlighted as a misfile.

Slide No. 17 - Backlog.
Maintain filing operations on a current daily operating basis. A continued accumulated backlog leads to confusion and inefficiency, adding up to wasted time, effort, and bad public relations.

Slide No. 18 - Order - Neatness.
The orderly arrangement, general appearance and neatness of the files pay tangible dividends in working relationships and operations. Sloppy files keynote inefficient work habits. Conversely, neat and orderly files denote efficiency of operations.

Slide No. 19 - Folder Overload.
Never exceed the scored folder capacity. Overloaded folders contribute to wasted reference and filing time and bulky, unwieldy files.

Slide No. 20 - Folder Stock.
Use a light-weight inexpensive folder for all files established and maintained on a yearly basis. A heavy-weight, reinforced tab folder should be used for maintaining continuing long-life records such as Personnel Records, Conservation Reserve Contracts, etc. Always use a folder that will last the life term of the records.

Slide No. 21 - Drawer Margin.
Do not load file drawers to maximum capacity. Always leave a four-inch working margin in the drawer to provide easy workability of the file material.

Slide No. 22 - Drawer Label (Typed).
Label the file drawer as to content and date - period covered. This is a simple but essential filing practice that is often overlooked. Maintain the labels on a current basis.

Slide No. 23 - Drawer Label (Tape).
The tape label may be used also as a drawer label. The tape provides color identification and better readability. Here, again, type on the date - period covered - for completion of the drawer label.

Slide No. 24 - Custody File.
Notice AS-133, dated February 7, 1957, specifies that certain records created or received by county offices should be maintained in one-hour, heat resistant, key or combination lock safekeeping equipment. These records include, but are not necessarily limited to, original loan documents and supporting papers; original Conservation Reserve Contracts; Warehouse receipts and all other negotiable instruments.

Slide No. 25 - Useless Records.
Get rid of those useless records - or non-record materials - at the earliest possible date! Establish and maintain a systematic elimination program. Useless records are expensive, as they represent wasted equipment, space, and inefficiency of operation.

Slide No. 26 - Records Disposition Digest.
This little Digest incorporates the authorities for retention and disposal of all records and non-record materials maintained in ASC County Offices. Page No. 1, specifies the records which must be retained permanently. Page No. 2 specifically identifies those records for disposal at specified intervals. Page No. 3 identifies the non-record materials and outlines disposal potentials for such materials.

Slide No. 27 - Five-Year Cycle.
The majority of county office records are authorized for disposal upon expiration of a five-year retention period. The maintenance and disposition programs, therefore, are established on a five-year cycle basis.

Current operating files are established and maintained on a fiscal, program, or crop year basis, as applicable to operating requirements. Two years, current year - active, and prior year - semi-active, records are maintained on the operating floor. Three years of retired inactive records are maintained in the storage area. At the end of each yearly period, the cycle process is accomplished by disposal of one year of eligible records in the storage area. Equipment is emptied and available for re-use. The semi-active records on the operating floor have reached an inactive status and are retired to the storage area into the equipment made available for re-use by disposal. The new year's files are set up in the equipment vacated by

transfer or retirement processes. Once the cycle is established and operative, it usually runs smoothly and efficiently, resulting in a well-organized, continuing disposition program and elimination of many equipment and space problems.

Slide No. 28 - Office Layout.
The physical organization and layout of the office should conform to straight-line work-flow channels for efficiency of operations. Locate the filing equipment at point of use to avoid waste time and motion.

Slide No. 29 - End of the Rainbow.
Proper application of this basic program for the management of records should result in fewer records in the office; better and more effective records; and last, but not least, more economical records.

This is our county office program. We hope that you can use some of the ideas or materials that have been presented. You may take with you any of the exhibit material here on the table.

Mr. Clarke: Thank you very much Mr. Jones.

If there are no questions, the meeting will adjourn.

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Adjourned: 3:00 P. M.

Minutes of USDA Records Management Council Meeting
Held on January 15, 1958, at 2:00 P.M.
Room 124-E

Present:

R. W. Everett	- AMS	Van O. Milton	- FES
W. Hillenbrand	- AMS	E. S. Black	- FS
James H. Hopkins	- AMS	William Clarke	- FS
R. H. Lando	- AMS	H. Hayden	- FS
Theodore A. Pitts	- AMS	C. G. Manley	- FS
L. T. Milbourn	- AMS	Mary G. Bryant	- Inf
C. D. Barrick	- ARS	Zelma J. Hicks	- Inf
E. E. Bushong	- ARS	Marie W. Henderson	- Lib
G. M. Cunningham	- ARS	A. Lyree Magruder	- Lib
A. O. Dusenbury	- ARS	Peter J. Doyle	- OAM
Dixie M. McKenzie	- ARS	E. F. McMahon	- OAM
Maude H. Miller	- ARS	Jack H. Merritt	- OAM
Mildred K. O'Brien	- ARS	Virginia Thatcher	- OAM
Pearl P. Rupert	- ARS	Larry Tornese	- OAM
Paul C. Wirth	- ARS	Fred P. Herzer	- OGC
Doris E. Wood	- CEA	James L. Miller	- OGC
Sara L. Cohran	- CSS	L. E. Roberts	- OGC
C. A. Paulsen	- CSS	James H. Austin	- P&O
Harold Rawcliffe	- CSS	Margaret L. Schneider	- P&O
H. B. Westfall	- CSS	Joseph K. Allison	- REA
Oneta Bear	- FAS	Mary E. Seipp	- REA
C. V. Trowbridge	- FCIC	Dorathea E. Wallner	- REA
Jeanne Franklin	- FCS	Mary Mackesey	- Sec
John Smiroldo	- FCS	G. E. Lewis	- SCS
Harold D. Walker	- FCS		

Paul Wirth, ARS, Chairman: Good afternoon, ladies and gentlemen. The USDA Records Management Council will please come to order.

I should like to mention at this time that the Council has received a Christmas card from Bill Luman. It is nice to know that he still thinks of us.

This afternoon, Mr. Peter J. Doyle, OAM, is going to tell us about the records holdings situation in the Department.

Peter Doyle, OAM: I'm going to pass out copies of the annual records holdings report for 1957, and also a chart showing records holdings and disposition for the last six years. It might be simpler to refer to the one showing the results of the last six years. Our records holdings were 894,000, a little higher than last year's 877,000. For the past six years, the Department's records inventory hasn't varied much. On records disposition we hit a low mark during FY 1957. We had less records disposed of in the last fiscal year than in the five previous fiscal years. Those two taken together mean something -- they mean that we should be doing a better job in Agriculture, because the records will eventually crowd us out if we don't get them out. I would say from looking at the chart that our records disposition figures ought to go up. You'll notice the percentage figures for records disposition in FY 1957 is 13.2% of our holdings. That is less than four of the five previous years. So we do have a couple of points to make concerning this chart.

First, records disposition is smaller, in volume of records, than for any of the five previous fiscal years, and transfers to records centers also were smaller. I have on the wall a chart showing records transferred to the Centers during fiscal years 1952 through 1957. It shows that in 1957 we transferred 17,200 cubic feet of records; this is the lowest figure shown since 1952. We have a couple of jagged ups-and-downs on the records transfer chart, but the trend has been downward and in the past year we have 17,200 cubic feet going to the Center; that's about 2% of the amount of records we have in the Department, and that's entirely too low.

If I had to sum up the records holdings and disposition picture for FY 1957, I would say it's really not as good as in previous years and not as good as the Department ought to be doing. So the next thought is, "what can agencies do to change this picture?" Well there are several things -- first of all, you get, from the field and your Washington Divisions, the equivalent of our annual records holdings report. I think you people should follow up on these reports; pick out those that look as though they ought to be better and get in touch with the people who sent them in. You should ask your people in the field to do the same thing, if they get feeder reports from subordinate offices which you don't see. When this is the case, you can't tell which county or unit office isn't doing as well as it could be. Therefore, I think you should ask your field people at the State level to follow up on those reports. Your personal attention and follow-up, combined with that of field offices which get feeder reports, is bound to produce good results.

Records management is only one of many administrative things that clamor for operating people's attention. If Records Officers remain quiet, we're not likely to get that attention. Some other branch of administration which squeaks louder will get the oil. Therefore, I suggest that you do a little following up and promote interest in your own agencies.

Another pertinent question is, "what can a Records Officer expect from his agency in records disposition? What's a good percentage figure - is it 10, 15, 20, or 25 percent?" No single percentage figure will apply to all agencies. I think you, as Records Officers, must analyze the records. You need to study the records in your agency to find out, volume-wise, what percentage of records can be disposed of or transferred to Records Centers in 3 years, 5, 10, etc. Then you can tell from the reports you get from your field and Washington offices whether they're doing a good job in records disposition. Here's an example of such an analysis, made of the records in agency "X", which we will assume has been in business for more than 10 years.

<u>Agency X</u>

	Cu. Ft.
Records Inventory	100,000
30,000 cu. ft., 3-yr. retention - Dispose ea. yr.	10,000
42,000 cu. ft., 6-yr. retention - Dispose ea. yr.	7,000
18,000 cu. ft., 9-yr. retention - Dispose ea. yr.	2,000
10,000 cu. ft., permanent; retain on hand 10 yrs. Send each year to Federal Records Center	1,000
Total yearly disposition 20%, or	20,000

Agency "X" obviously has an active records disposition program going and is turning in a very nice job.

If you Records Officers have not analyzed your records holdings so that you know how much you should be sending to the Records Centers and how much you should be disposing of each year, you should make such an analysis. Then you'll know whether your agency is doing the best job it could be doing in records work.

The next thing you can do is to encourage your agency people to make greater use of the Federal Records Centers. The percentage of records we have in these Centers is very low. Counting the records we have in the Federal Records Centers and the National Archives, it comes out to about 12½%, or 1/8, of our total USDA records holdings. This is quite a lot less than the figure for the Government as a whole. These figures were given to us by GSA. According to GSA, in Government right now 42% of the records are in Federal Records Centers or approved agency records centers. (The Army Department and Navy Department have their own records centers, approved by GSA.) The Government-wide figure of 42%, compared to Agriculture's figure of 12½%, shows us what we could be doing which we haven't done. I ask that you encourage your agency people to make use of Federal Records Centers as much as can be done practically. I've never met anyone yet who was dissatisfied with Federal Records Center service.

Another thing you can do is study your records disposal schedules to determine which records retention periods can be reduced. Then you can talk to your Division heads and others about lowering the retention periods on those records. If it is believed the records retention periods can't be lowered, you can ask your Division people to send the records to the Records Center sooner than they would otherwise do.

In one respect, the Agriculture story on records is very good. The Government-wide percentage of permanent records is 25%, and that is terrific. In Agriculture, our percentage is a trifle less than 10%. The GSA recommends that the Government should have as a target for permanent records holdings a figure of 10% and we are at 9.98%, so we're a little under. I think that's something to be proud of, particularly with the rest of the Government at 25%.

The Office of Administrative Management is putting out a memorandum which ought to be delivered next week, Action Memorandum No. 4, concerning records retention and disposal, and it transmits a copy of the records holdings and disposition chart. It has a few suggestions on what can be done to improve the records picture in our Department. I don't know whether all you people are on the mailing list for OAM Action Memos, but if you aren't, we can send you copies of OAM Action Memo #4. We hope, in this way, to spur a little attention in the direction of records management, use of the Federal Records Centers, and records disposition.

There are still about 5 months left in this fiscal year, and I believe that the Department, with a concerted effort, can make a much better record than was done last year. OAM Action Memorandum No. 4 gives these guides as to what could be done:

a. Re-evaluation of records disposal schedules on an annual basis - some people do this, but not all of you. Schedules need to be examined periodically and brought up-to-date, just like other management procedures.

b. Amendment of disposal schedules to reduce retention periods when changing circumstances affect their administrative, scientific, legal, or historical value. This is really another way of saying the same thing listed under a.

c. Adherence to the mandatory provisions of disposal schedules. You people are aware of records that have outlived their usefulness, as prescribed by the records retention schedules. We ask that you follow up and see that the records are destroyed. If circumstances have changed and they cannot be destroyed, you must change their disposal schedules.

d. Removal of non-current records from prime office space and filing equipment to more economical storage. In Agriculture this means better use of Federal Records Centers, as we don't have approved agency records centers, such as the Army, Navy, and maybe several others.

e. Survey and analysis of storage facilities where concentrations of records exist, to minimize the volume retained. This means applying the disposal schedules and transferring records to the Federal Records Centers. Here again, this refers to records that have been around longer than they need to be. The next item is an important one:

f. Adequate instructions to field offices providing for definite implementation of records management policy and effective follow-up.

I have already made the suggestion that you follow up on reports which you get from the field and your Washington Divisions on annual records holdings and disposition. I think that follow-up is very worthwhile. Attention is what gets results.

The OAM Memorandum also mentions some statistics which are interesting. It shows that an average of 14% of total office space may be devoted to active files. According to space management personnel in P&O, sample studies they have conducted show that about 1/7 of space is given over to files, and that's considerable. In fact, it's tremendous when you think of all the space in the Department.

One cheering thing about this records holdings chart -- it shows that over the past 5 years the records inventory has decreased by 40,349 cu. ft. In actual volume of records we have made an improvement, but the trend is bad. We're now disposing of less, and we're using the Records Centers less than ever before.

Another thing we can do in Agriculture is to set up a target for removal of records to Records Centers and for destruction of records, and we think that a 25% figure is not too high to aim at. It is unlikely that the Department would hit 25% in one year, particularly since the percentage for fiscal year 1957 was just a little higher than 13%. However, I think that if we set up a 25% figure as a target, it shouldn't be long, maybe two or three years, before we reach that 25% goal. The 1955 Hoover Commission recommended that GSA set a target of 50% of all agency records to be stored in Federal Records Centers or approved agency records centers.

In the Government as a whole, 25% of the records are removed from active files every year and put into records-center type storage. If the rest of the Government can do it, it seems to me we ought to be able to equal that figure, if not in fiscal year 1958, certainly in a couple of years, maybe less. That covers the gist of OAM Action Memorandum No. 4, and I believe it is an important memorandum. We have two types of memoranda in OAM, Advisory and Action. We can presume that since OAM No. 4 was given an Action number, it was expected there would be some action from you and, through you, from all of our USDA offices here and in the field.

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Mr. Allison, REA, asked whether the high usage of records center space by military agencies is due to operation of their own records centers.

Mr. Doyle said that was possibly correct, but added that he didn't think GSA operation of the Federal Records Centers should deter use of the Centers by Agriculture offices. He said that there was no reason why we shouldn't use the Federal Records Centers as much as we would our own records centers. Because of good reference service, the location of the Center shouldn't have anything to do with it. The military records centers are also scattered, and are not immediately adjacent to military installations.

Mr. Clarke, FS, mentioned that agencies would lose space in the South Building attic due to air conditioning, which would cause more agencies to send their records to the Centers.

Mr. Trowbridge, FCIC, asked: Pete, do you know anything about a revision of the Annual Statistical Summary of Records Holdings? Is a movement on foot to revise it?

Mr. Doyle replied that it was a new form and he had no news of a pending revision of SF-136, Annual Statistical Summary of Records Holdings.

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Paul Wirth, Chairman: Pete, I would like to suggest that one of the things you folks in OAM could do to maintain continued interest in records management is to conduct more field reviews. I think that the work your office is engaged in, such as reports and forms management, is all very well because it is part of the paperwork problem; but just talking about records holdings is not as effective as personal attention. The agencies need that support from your office.

Mr. Doyle: I agree that we haven't done enough on that in 1957, and how much we will be able to do in 1958 I don't know. I realize that records management reviews are important to the people in our management field, but how much we will be able to do I just don't know. I know the agencies expect our support and they have a right to expect it.

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A motion was made that the Records Management Council indicate its position on the field reviews made by the Office of Administrative Management.

A second motion was made that more field reviews be held and that Mr. Wirth write a memorandum conveying the feelings of the Council to the Office of Administrative Management.

The motion was carried unanimously.

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Paul Wirth, Chairman: We are now going to hear a discussion on the purpose and use of Form AD-114 by Peter J. Doyle and James Austin.

Mr. Doyle: I think it would be well here to start out by giving some of the background and history of the origin of the form. Would you like to take over, Jim?

Mr. Austin, P&O: The new pink jacket with the built-in multi-part form for mail control and recording is by no means a new idea. The first time I was exposed to the idea was back in 1953. At that time the Production and Marketing Administration introduced the same basic idea. A series of meetings was held under the guidance of the Secretary's Office, and the form was developed to the point where it was about to be issued. However, the Administrative Assistant Secretary directed that we not issue the form at that time, so the whole thing was dropped. Of course, the reason for his action was the pending reorganization which was to take place shortly. He did not feel that it was timely to issue the form until the mail control needs of the Department as it was to be reorganized could be studied.

Although the form was dropped we did not forget about it, nor did the primary successor to PMA, the Commodity Stabilization Service. Back in 1955 we revised the pink jacket so that the AD-172, Correspondence Control Form, could be attached to it. While this arrangement was a bit crude, it provided some of the features we had been striving for in 1953. In the back of our minds was the hope that the original idea could still eventually be adopted.

A major break came when CSS introduced its multipart Administrator's Jacket for use within their agency. I don't know just when they came out with the form, but I first knew it was definitely being used early in 1957. At that time CSS desired to get us to substitute their 7-part tickler on top of our jacket for those jackets we sent to CSS for handling, instead of the 5-part tickler we were using. They sent Bill Jones over to sound me out on the idea. Of course, Bill already knew what my answer was going to be, and that was "no." The reason, of course, was because it might set a bad precedent which could obligate us to affix any similar form for any other agency. However, we both thought the timing might be good for reviving the 1953 idea. So we took a walk down the hall and had a chat with Pete Doyle in the Office of Administrative Management. Pete, will you carry the ball from here?

Mr. Doyle: The new AD-114 was intended to take the place of the old one (showing it) prepared in the agencies, and the P&O-38 that Jim used to prepare in Secretary's Records Section. This form is a good illustration of all the steps that have to be gone through to devise, discuss, and simplify a procedure before drafting a form that will make the procedure work.

On February 1, 1957, we had a meeting of agency representatives -- Bob Lando, AMS, Bill Jones and Ernie Thompson, CSS, Bill Clarke and Howard Hayden, FS, Mr. McLean, SCS, Jimmy Austin, P&O, and myself. That was the first step -- getting together to discuss how the P&O pink jacket form and the green AD-114 could be combined. We also considered, at that time, combining the legislative report used by Carl Sapp's office, the Division of Legislative Reporting, B&F, with the new projected pink jacket form. It was decided not to do too many things in one step.

We again had a meeting a couple of weeks later, February 15, and someone suggested - I think it was Jim Talbert - that we try to combine the new AD-114 with the agency administrator's correspondence jacket, so I drafted one of those and it got nowhere. By the way, this is the correspondence jacket used in CSS, Form CSS-79, used by the CSS Administrator, and it is the one on which we modelled our new pink jacket, Form AD-114. The content is not the same, but you can see the form's construction is exactly the same.

In April, Chester Adell, who is in charge of forms management in CSS, drew up a draft of a proposed Form AD-114 -- this was it! But like everything else, it didn't seem to get full acceptance either. Every time one of these things is drawn up, someone has a different idea and some change is made on the new draft. The next step was one like this (April, 1957) -- we sent this out and asked for comments. Of course, this wasn't the completed form as we intended to follow the CSS format, but this would show what was on the form. This went out with a memorandum from Mr. Loftus on May 21, asking for suggestions and comments and explaining the idea of the form. That drew in some good suggestions and comments from about six agencies. The suggestions made us call for another meeting on July 3. The people who sent suggestions were there - representatives from Inf., ARS, REA, OGC, and SCS. All of these people had suggested one change or another to go into the form and some of them were excellent. We were very glad to get them.

The July 3 meeting was the one that really settled the final draft of the form, because this version was approved by Mr. Roberts, Administrative Assistant Secretary, and Miller Shurtleff on August 21. The next step was to order a supply of the revised AD-114, and even before it came in a change was needed. Don Simon and Jim Austin had taken part in a correspondence survey ordered by Mr. Roberts, and they said that the 3-day handling period the old green jacket had called for (as well as our new pink jacket) was unrealistic and ought to be changed to 7 days. This was accepted by Mr. Roberts and thus we had the pink jacket, the new AD-114, in a sense obsolete before it came from the printers'. When it did come in on November 29, 1957, we sent out an Advisory Memorandum setting a date for its use, which was December 10. We had a meeting then, in this room, and Jimmy Austin explained its use to agency people. So the agencies were prepared as to how to use the form on December 10.

Since then, I am told, Jimmy Austin has had a number of suggestions on changes in the form. This is all to the good. We welcome suggestions for improving the form and its procedure. Although a large stock of Forms AD-114 was ordered, enough for a year's supply, agencies have already taken all of the Central Supply Section's stock. I suppose in about 3 months we will have the new form in again. As soon as it comes in, we will have about 10 suggestions to change it. However, we certainly appreciate getting suggestions because that is the best way to improve the form.

Jimmy, won't you tell us about your experience so far with the new form?

Mr. Austin: Actually, we have encountered very few problems in the initial use of the form. One problem has been that of getting some of the agencies to number the jackets they originate. This is frequently coupled with the age-old problem of people walking jackets through for signature, out of channel. More often than not, as most of you know, this is the area where a majority of problems develop in the movement of important mail. We believe, in the long run the new jacket may help both the agencies and the Secretary's Records Section to keep more mail for Secretary's Office signature under control, which is what should happen for this particular type of mail.

One other problem has been the repeated failure of some agencies to indicate whether the letter prepared to go out is an interim or a final reply. The Secretary's Records Section must assume that a reply is final, unless the "interim reply" block is checked. As a result, agencies sometimes will not automatically get back material which they may need to prepare the final reply. This may not basically be a shortcoming of the form, but rather procedure. At any rate, we are looking into the matter, and will welcome any suggestions on this, or anything else pertaining to the new pink jacket.

Paul Wirth: Are there any further questions? Jim, I guess they understand it pretty well. Thank you very much Pete and Jim.

Is there any other business? Are there any announcements?

The meeting will adjourn.

3:00 P.M. - Adjourned

Minutes of USDA Records Management Council Meeting
Held on February 12, 1958, at 2:00 P. M.
Room 124-E

Present:

John Dawson	- FBI	William C. Albert	- FHA
C. Lester Trotter	- FBI	William E. Forsythe	- FHA
Evelyn R. Warfield	- ACPS	Wanda Grafton	- FHA
James H. Hopkins	- AMS	Gardner Walker	- FHA
L. T. Milbourn	- AMS	Howard Hayden	- FS
E. S. Sinclair, Jr.	- AMS	Mary G. Bryant	- Inf
Gertrude Cunningham	- ARS	Peter J. Doyle	- OAM
A. O. Dusenbury	- ARS	J. P. Loftus	- OAM
Mildred K. O'Brien	- ARS	E. F. McMahon	- OAM
Pearl P. Rupert	- ARS	I. A. Tornese	- OAM
Paul C. Wirth	- ARS	Fred P. Herzer	- OGC
Mary Lee Butler	- CEA	James L. Miller	- OGC
Doris E. Wood	- CEA	L. E. Roberts	- OGC
Clarke A. Paulsen	- CSS	William W. Brown	- Pers
H. Rawcliffe	- CSS	Arthur P. Steuerwald	- Pers
E. S. Thompson	- CSS	Virginia C. Cusick	- P&O
Oneta Bear	- FAS	Joseph K. Allison	- REA
Blanche M. Lauck	- FAS	Dorathea E. Wallner	- REA
Felton E. Robey	- FCA	Gilbert E. Lewis	- SCS
John Smiroldo	- FCS		

Paul Wirth, ARS, Chairman: Good afternoon, ladies and gentlemen. This is the February meeting of the Records Management Council. Are there any announcements to be made or guests to be introduced?

Gardner Walker, FHA: Yes, Paul, I would like to introduce two guests from the Farmers Home Administration: on my left is Mr. Forsythe and on his left is Mr. Albert. They are with the Internal Audit Division.

Mr. Wirth: Welcome to the meeting, gentlemen. Are there any more announcements?

Clarke Paulsen, CSS: I have an announcement to make at this time. You folks are all well acquainted with our Tommy Thompson -- Tommy is leaving to take charge of our records program in the Western Office out in Denver, Colorado. We are going to miss him. I know you folks who know him will too. I thought I would let you know that Tommy is leaving some time next week to take over this very responsible job out in Denver.

Mr. Wirth: Copies of the minutes of the September, October and November meetings have been distributed. I would like to have the minutes of the November meeting corrected, or at least a notation put in the minutes of this meeting, to the effect that the November meeting was conducted by the Chairman rather than by the Vice Chairman. Are there any other corrections in the minutes as printed? Hearing none, they will be approved as written.

Your Steering Committee has been considering arranging for either a tour of the National Archives or of the Records Center in Franconia in lieu of the March meeting. In order that they may know your wishes, I would like to have a show of hands on this matter: and will you please keep your hands up long enough for the secretary to make a count? First, how many would be interested in a tour of the National Archives? -- Count, 12.

How many would be interested in a tour of the Records Center in Franconia? -- Count, 22.

Our speaker today is Mr. C. Lester Trotter, Assistant Director, Identification Division of the Federal Bureau of Investigation, Department of Justice. His topic will be "Records-Keeping Practices in the Identification Division of the Federal Bureau of Investigation."

Mr. Trotter: I would first like to take this opportunity to invite you to tour our Identification Division at any time that is convenient for you. We will be most happy to have you visit us.

Our work in the Identification Division has to do with fingerprints. Our files contain approximately 148,000,000 fingerprint cards and our filing system has as its premise and filing device the ten finger impressions which are found on the finger tips. Being employees of the Federal Government, we undoubtedly have the fingerprints of some of you recorded in our files. Let me assure you, however, that the files are so divided that your fingerprints would be in the civil section -- not in the criminal section.

Fingerprinting in the United States and in the world has a history that goes back many, many years. It is comparatively new as a science of identification. It is comparatively new as a means of preserving the individuality and identity of a specific individual, but man has more or less sought from the beginning of time to identify himself -- to set himself apart from his fellow man as an individual entity. He has done this in various ways -- by scarification as practiced by prehistoric tribes -- by tattooing as employed by the Romans and even by branding and maiming. Evidence that man was conscious of the pattern ridges on the tips of his fingers and palms predates the Christian era by many centuries. On the face of a cliff in Nova Scotia, for instance, has been found prehistoric Indian "picture writing" of a hand with ridge patterns crudely marked.

Fingerprints themselves, however, did not come to the fore as a means of positive identification until about the middle of the 1800's. Specifically, in 1858 Sir William James Herschel, a British Administrative Officer in India, began the first nonofficial use of fingerprints on a large scale. He required natives to affix their fingerprints as well as their signatures to contracts.

A similar practice was initiated in the United States in 1882 when Mr. Gilbert Thompson of the United States Geological Survey, while in charge of a field project in New Mexico, used his own fingerprints on commissary orders to prevent their forgery. Mark Twain in two instances called upon fingerprint evidence to bolster the plots of his stories.

The individuality and permanence of fingerprints were established by Sir Francis Galton, a noted British anthropologist, in his book "Fingerprints," published in 1892.

We are born with fingerprints. In fact, the ridge detail is formed before the fourth fetal month and it remains until after death when decomposition sets in and the ridge structure is destroyed.

In 1901, Sir Edward Richard Henry simplified fingerprint classification and made it applicable to police identification. Henry's system was installed by the London Metropolitan Police Force. It is the Henry system with our own modifications and extensions which we presently use.

From the early 1900's to 1924, individual local fingerprint files were established by various local law enforcement agencies in this country.

By the year 1924, the need for a centralized clearinghouse for fingerprint identification data had grown to a point where the demands of police officials led to an Act of Congress establishing the Identification Division of the FBI. On July 1, 1924, the fingerprint records of the United States Penitentiary at Leavenworth, Kansas, and the records assembled by the International Association of Chiefs of Police in their National Bureau of Criminal Identification were consolidated in Washington, D. C. At the time the FBI took over these two files, their combined total equaled some 810,000 fingerprint cards. Today, these same files now include more than 148,000,000 fingerprint cards representing some 72,000,000 individuals.

The original purpose of the FBI's centralized fingerprint file at Washington was to identify itinerant criminals moving rapidly from city to city and state to state. This is still one of our main functions. However, today, we perform many other tasks. Last year, for instance, we identified nearly 1,000 unknown deceased individuals who would otherwise have been buried in a Potter's Field grave. Numerous cases of amnesia were solved through the fingerprints in our files.

We are receiving fingerprint cards at this time at the rate of approximately 20,000 each day. We have a self-imposed deadline of 48 hours within which to process the fingerprint card completely through our Division and have the answer on its way back to the original submitting agency. We do business with law enforcement agencies and any agency of the Government, whether it be at the Federal, state or local level.

Before I show the slides which depict how we process the work through our files, I would like to know if anyone has any questions up to this point.

Question: At what time does this decomposition take place when the fingerprints are no longer available?

Answer: It depends on the condition of the body at the time of and following death. To cite an example, our disaster crew went down to Louisiana at the time of Hurricane Audrey last June and in that case decomposition was rapid because the weather was hot and humid and the bodies of the victims had been in the water for two or three days. It was practically impossible to get a full set of fingerprints, but we did manage to take the skin right from the fingers and got finger impressions in that way. In dry heat where mummification would set in, such as on a desert, we have been successful in obtaining prints from a body as long as three or four months after death. In a cold climate we have been successful in obtaining good prints after eight or nine months. It depends on the individual case.

If there are no other questions, I will now show the slides.

Slide #1 -- Identification Building
This is a view of our Idantification Building, located not too far from here at Second and D Streets, Southwest.

Slide #2 -- Fingerprints in Possession
At the end of the calendar year 1957 we had on file 147,531,988 fingerprint cards. To illustrate the rapid growth of our files, you will recall that I told you we started with 810,000 fingerprint cards on July 1, 1924, and later in 1937 we reached the 8,000,000 mark. With the advent and conclusion of World War II, our files swept past the 106,000,000 mark and today we are approaching the 149,000,000 mark.

Question: Why has it grown so fast, because there are so many more criminals?

Answer: There are two reasons: (1) the main growth occurred during World War II when the FBI took over the fingerprint files of the various military services -- Army, Navy, and Marine Corps, and (2) the alien fingerprinting program which started at the beginning of World War II. Crime, too, has been on the increase. Going into World War II, we were receiving about 3,000 to 4,000 fingerprint cards per day in the criminal category. Today we are approaching 8,000 criminal fingerprint cards per day, so the growth has been both in the criminal and civil field.

Slide #3 -- Contributors
You will recall I told you we receive fingerprint cards from law enforcement and Government agencies. In 1937 we had 10,000 such contributors -- today, there are approximately 13,000.

Slide #4 -- Building Cutaway
Pictured is a cutaway of our building. Here, briefly, is how we process our work. To process the daily average of approximately 20,000 fingerprint cards each day we employ production line techniques. In addition to the fingerprint cards, we also receive for processing about 4,000 other items a day.

Mail bags from the Post Office are conveyed to the top floor of the building -- to our Recording Section. Here the fingerprint cards are scanned for special handling. For example, if an agency believes their subject may be wanted, they may request a "wire answer." A red or yellow date tag is stapled to the upper left-hand corner of the fingerprint card. The colors are used to designate the priority of handling by date in each subsequent operation in the Division.

The work then moves across the corridor to what we call our Blocking Out Unit where the primary and secondary fingerprint classification is placed on each card. The cards are next placed on the automatic, continuous belt conveyor pictured in the extreme corner of the building to be sent to our name index.

We have found that by first searching the name files, using the subject's name and fingerprint classification, we can greatly speed the flow of our work. A name searcher in the Card Index Section, for example, searches 40 prints an hour, while the man searching by straight fingerprint classification will average from 8 to 10 searches an hour. All tentative identifications, therefore, established by name search obviate a full fingerprint classification formula search. Name search identifications are made positive through the subsequent comparison of fingerprints by a technical expert.

After the name search, tentative identifications travel on the conveyor to the second floor where the complete record by FBI number is assembled and the current print is identified and verified by fingerprints. Those fingerprint cards which cannot be identified by name search proceed on the conveyor to the fourth floor -- our Technical Section -- where a thorough and comprehensive search by fingerprint classification is made.

Pictured on the third floor are the civil fingerprint files of our Technical Section The entire second floor houses the Assembly Section where the complete records of individuals with more than one fingerprint card are filed numerically. All of our files, index, technical and numerical are cross-referenced to each other. Whenever an identification is established on the incoming fingerprint card, the complete record is thereafter verified by a higher grade technical fingerprint expert. Thus, each record disseminated by us has been passed on by two fingerprint experts. The current fingerprint card, now attached to the complete record, is transported on the conveyor to the first floor where in the Fingerprint Correspondence Section the reply is prepared, proofread, duplicated and copies assembled and mailed. The nonidentifications -- those prints not identified by search -- proceed directly from the fourth floor Technical Section to the Fingerprint Correspondence Section for answer as a "nonident."

Slide #5 -- Incoming Mail
Now I will give you a little more detail of our operations. Here in our Recording Section the mail bags are opened. The fingerprint cards are separated by states and each of these pigeonholes represents a particular state. Thereafter, the prints are recorded and scanned for special processing.

Slide #6 -- Blocking Out Unit
This is a view of our Blocking Out Unit. It is in this unit that the primary and secondary fingerprint classification is set out on the print. This classification is based on the ten finger impressions appearing on each fingerprint card.

Slide #7 -- Card Index Section
Here is a view of our Card Index Section. In this section we have our name files about which I spoke earlier. These are maintained alphabetically.

We are gradually converting our index from the 3 x 5 stand-up searching cabinets to the electrically operated files which you see here. Some of you, I am sure, are familiar with them. Generally, one employee is able to operate three machines containing approximately 70,000 index cards. These machines are lower in height than the stand-up searching cabinets thereby providing better light and ventilation. Also, there is less fatigue because the operators are able to sit down. We found that through the use of these machines production was increased by about 19%.

Question: How long does it take you to train one of these girls in searching?

Answer: Following a three-day fingerprint school, they are instructed in sequencing and filing. Thereafter, they go to class for approximately a week to learn searching technique and procedure. They usually reach their peak of searching efficiency 60 days after this training.

Question: What are the grades of these girls?

Answer: They are in Grade 3.

Slide #8 -- Elevator Files
This is a close-up view of the machine. The keyboard is on the front. Each key controls a tray. The red tabs, which you see, represent wanted men. We identify a little over 1,500 wanted men each month just by this particular searching process. It can readily be seen how much investigative time this saves law enforcement agencies.

In this case, the girl is processing a disposition sheet. Upon arrest, the prints of the subject will be immediately transmitted. However, it is not always known at the time exactly what disposition will be made of the case. At such time as the disposition is determined, a disposition sheet is submitted by the law enforcement agency. It is then searched and made a part of the subject's record.

Slide #9 -- Tech Files
Here is a view of one wing on the fourth floor of our Technical Section. This is the Technical Section searching file. Here, all searches are made strictly on the basis of fingerprint classification. All identifications are made through comparison of the individual fingerprint characteristics on the incoming current print with the fingerprints presently on file. Names mean nothing in this file.

Slide #10 -- Tech Individual Searching
This is a close-up view of a searcher at a fingerprint cabinet conducting a search by fingerprint classification. Note the colored date tag on the fingerprint card showing the date of the month it was received and specifying by color the priority which the print receives in our searching operation for that day.

Slide #11 -- Fugitives Identified
One of the cooperative services we render law enforcement agencies is the placing of wanted notices in our fingerprint files. During the year 1947 we identified 5,000 wanted men. In 1957 we identified more than 15,000.

Slide #12 -- Assembly Section
Here is a view of one wing of the Assembly Section files where the complete record of the individual is filed numerically. There is under way at this time a microfilming program to microfilm all but one fingerprint card in a subject's file. One will be kept so we can identify that particular case with a current print.

Slide #13 -- Verifying
Here, a technical expert verifies a fingerprint identification that has previously been made by a searcher in our fingerprint files.

Slide #14 -- Fingerprint Correspondence Section
This is a view of our Fingerprint Correspondence Section. Here is where we answer the prints after search. Over 450 employees are engaged in this particular operation.

Question: In this particular area is there much for . letter use?

Answer: Yes, there is quite a bit of form letter material used. For instance, we employ a master docket system. When a record is established, we type that record on a duplicator master that will remain in the subject's jacket. Upon receipt of a new print, all we do is add the new entry to the duplicator master which is then run off on the machine and the copies distributed. This eliminates re-typing the record each time a current print is received.

Question: How long does this master duplicator last?

Answer: At the present time, we have some in file that are easily 20 years old. We are, however, converting from the Ditto duplicating system to the Copyflex system.

Slide #15 -- Photocard Answer and Indexing
In cases where we find no previous record for an incoming current fingerprint card, we have recently instituted a system of photographing a portion of the incoming card to serve as our reply and as our index card. This chart shows on the left an incoming fingerprint card. At the upper right is the outgoing reply which we send the contributor informing him we have no arrest data on this particular man. Immediately below the reply is the index card photographically prepared at the same time for our files.

Slide #16 -- Dexigraph Camera
This young lady is photographing current fingerprint cards for reply and indexing. She photographs approximately 1,000 fingerprint cards per hour. This system is much faster than typing replies and index cards. Formerly, one typist could process 25 of these cases an hour whereas with this photographic technique one employee answers more than 1,000 fingerprint cards each hour.

Slide #17 -- Dexigraph Processor
After the camera has photographed a complete roll of film it is placed in this developer where the photographed replies are developed, dried and rolled on the drum at the upper center of the picture. Thereafter, an automatic cutter cuts and trims the replies and index cards to the correct size. It is not necessary to proofread in detail each of these replies. The finished work is merely scanned to be sure that the photographic images are clear. Thereafter, the answers are placed in the outgoing envelopes in our Mail Room.

Slide #18 -- Ident Typing
This shows how we type our identification records. We utilize a master docket system employing a master duplicator sheet which is kept in the fingerprint file at all times. When a new fingerprint card is received by us, we merely add the information from the current print as the next entry on the master duplicator sheet. We then reproduce the required number of copies of the complete record. This system saves detailed typing of each record each time a new print on a particular individual is received.

Slide #19 -- Duplicating
The completely typed master dockets are sent through the machines pictured here where automatic reproductions of the record are made. The machines automatically cut and dry the necessary number of copies.

Slide #20 -- Mail Room
Here is a view of our mailing operation where the records are finally placed in envelopes previously addressed by Addressograph plates. From this point, the mail is dispatched to the Post Office and the reply to the incoming fingerprint card is thus on its way back to the original contributor.

Question: I was through your establishment in December of 1924. At that time you were using an entirely different type of equipment. You were using IBM punch card equipment and timing equipment. Don't you use that any more?

Answer: No. We no longer use that type of equipment. We did at one time use an IBM sorting machine on a very small group of our fingerprint cards, but we grew so rapidly and so extensively that the machine lost its effectiveness.

Question: Do you have any system of disposal for the fingerprint cards?

Answer: Yes. In addition to the microfilming program, we have the technical fingerprint files set up in such a manner that when a person reaches the age of 55, his prints are transferred to our reference file. At the age of 75 the record is removed from the reference file and placed in what we call the "presumptive dead" file.

Question: Eventually, are some of these cards thrown away?

Answer: Yes. When we receive positive notification of death, we dispose of them.

Question: You mentioned the disposition sheet; is this automatic or do you follow it up?

Answer: We do not follow it up. The whole program is entirely voluntary and each arresting agency has a program where they forward disposition sheets to us.

Question: If I touch a piece of paper or the table and leave an imprint, you can recover it and capture it, within reason, I assume. How does that come about? Is it a secretion of the fingers or moisture or something? I certainly don't leave a visible impression on the table or piece of paper. What is the mystery of that?

Answer: The sweat glands on the ends of your fingers exude moisture. This moisture follows the identical path of each of the ridged characters on your finger tips and when you touch something you leave that moisture on the surface of whatever it is you touched. By dusting with a very fine powder in a contrasting shade, the print will be easily discernible.

Question: Just for my guidance on my next "safe job," how long does that fingerprint last?

Answer: Under ideal conditions, they will last from two to three years.

Mr. Wirth: Thank you very much, Mr. Trotter. Now, I have one other item of business -- at the January meeting of this Council, a motion was made and carried that I prepare a memorandum of understanding to the Office of Administrative Management regarding the records management review program. At this time, I would like to read that memorandum:

"The January meeting of the USDA Records Management Council was devoted in part to a discussion, by Peter J. Doyle of your staff, of records holdings and records disposition throughout the Department. He emphasized the fact that during fiscal year 1957, records holdings within the Department increased while records disposition decreased.

"During the question and answer period following the presentation, it became apparent that the Agency records officers felt the need of continuing Department assistance in maintaining the interest of top management in their records management programs. Past experience has shown that one of the most effective means of providing agencies with the needed incentives and assistance to improve records disposition and other related records management activities is through the records management reviews of agency records holdings and practices. A motion was presented and passed unanimously, instructing me to request your office to place additional emphasis on the review program of agency records, both in Washington and the field.

"Members of the Council recognize their responsibilities in promoting a comprehensive and aggressive records management program. The Council believes, however, that the review program represents an important tool of the OAM in carrying out its responsibilities for exercising leadership in the records management activities of the Department. The reviews are an excellent illustration of a Department staff office applying the principles of the management audit to insure that a series of laws, Government-wide regulations, and Department regulations are effectively implemented at the agency level.

"We in the Council feel that unless increased emphasis is given the records management audit program, the General Services Administration will very likely exercise their authority to take over this function. We further feel that an acceleration of this program by OAM would assist in correcting the downward trends in records disposition as outlined by Mr. Doyle at the last Council meeting.

"We wish to assure you of our continued cooperation in furthering the records management program within Agriculture and urge that you give favorable consideration to our request."

Mr. Loftus responded orally, in lieu of a written memorandum, as follows: I would like to thank the Council for this action. It is a very desirable situation when we in a staff office have clients eager to accept what we have to offer.

I appreciate, particularly, the spirit and wording of Mr. Wirth's memorandum. I recognize that we, jointly, have need for maintaining the interest of top management in our records work.

The conduct of field reviews, however, entails several issues of policy and feasibility. Among the 20 agencies and staff offices in USDA, only 8 have field organizations. If we were to commit ourselves to an aggressive field review program, we in OAM might thereby neglect our true staff office responsibilities.

It seems to me we should distinguish the responsibilities of a staff office nature and those appropriate to operating agencies. We are obligated to give leadership and guidance; agencies are necessarily responsible for performance. Our charter, as set forth in Secretary's Memorandum No. 1409, is phrased in this vein. In 9 AR 103C, responsibility for efficient operation is described as an agency responsibility.

Heretofore, records management audits have been undertaken in 36 states. This approach, however, is not necessarily the final answer. We do expect to travel. We expect to get into the field and make ourselves useful, but I cannot commit the Office to regular semi-annual reviews of the type previously made. I would like to initiate something different and, possibly, better.

To what extent do agency personnel conduct records surveys in the field? Do you have positive, planned programs of field visits to check on records management? If you do, our reviews would tend to duplicate such activity. If you don't, perhaps we should be assisting you to inaugurate such a program.

To what extent do agency records officers use internal auditors to check on progress and problems associated with filing systems and records disposition? The internal audit program is intended to cover all phases of administration. To get the benefit of this support for your work, agency records officers should collaborate with the internal audit staff. Internal audit reports are made directly to agency heads, which affords one vital channel of access to top management. Undoubtedly, internal auditors would need guidance material to help them in the performance of their reviews.

Would it stimulate top-level interest if OAM reviews were focused on the agency program, and not directed merely to isolated situations which might exist at different geographical locations? This would involve (1) a review of the program in the headquarters office, followed by (2) trips to regional, area, or state offices, to evaluate the coverage and effectiveness of what is being done.

Another approach which can be used to get understanding and top-level interest would be to work through the Department's Management Improvement Committee. This Committee includes Assistant Administrators for Management in each agency. When we have problems, discussion of them in this forum would be helpful in developing USDA policies and procedures. 1/

Since we have internal auditors here from FHA, and Gardner Walker brought them, I would like to inquire if you have attempted to use the agency internal audit staff in this area.

Mr. Walker: Yes, at both the State and County Office levels. The internal audit is a vehicle of assistance just like the audits made by your group.

1/ Mr. Loftus discussed records management reviews with the Management Improvement Committee on March 11, 1958.

Mr. Wirth: I think members of the Council felt that the review programs would help in bringing our records work to the attention of top management.

Mr. Loftus: I don't want to leave the impression that we are withdrawing entirely from this program, but I cannot commit the staff to regularly scheduled reviews.

Mr. Wirth: We were getting reports, analyzing and supporting them, and setting deadlines for reporting what was done about them. We got very good results from the reviews.

If there are no further questions or comments, the meeting is adjourned.

Adjourned: 3:22 P.M.

Minutes of USDA Records Management Council Meeting
Held on April 9, 1958, at 2:00 P. M.
Room 2-W

Present:

Michael Samordic	- Navy	Harold D. Walker	- FCS
Richard Daniels	- AMS	Bill Lavery	- FES
S. J. Dorick	- AMS	Christine M. Miller	- FES
C. D. Barrick	- ARS	William F. Clarke	- FS
G. M. Cunningham	- ARS	Howard Hayden	- FS
E. T. Harden	- ARS	W. F. Hice	- FS
K. L. Hill	- ARS	Mary Bryant	- Inf
M. H. Miller	- ARS	Zelma Hicks	- Inf
Dan Moser	- ARS	Marie W. Henderson	- Lib
Mildred K. O'Brien	- ARS	A. Lyree Magruder	- Lib
Pearl P. Rupert	- ARS	Peter J. Doyle	- OAM
Warren G. Ryan	- ARS	J. P. Loftus	- OAM
Louis Venafra	- ARS	J. H. Merritt	- OAM
E. B. Bryan	- B&F	I. A. Tornese	- OAM
Doris E. Wood	- CEA	L. E. Roberts	- OGC
Carl Christianson	- CSS	Margaret Sullivan	- Pers
H. A. Huber	- CSS	Joseph K. Allison	- REA
Clarke A. Paulsen	- CSS	Roland Gaver	- REA
Oneta Bear	- FAS	John H. Martini	- REA
Ruth Donovan	- FAS	Dorathea E. Wallner	- REA
Blanche M. Lauck	- FAS	Bill Wirt	- REA
Felton E. Robey	- FCA	Gilbert E. Lewis	- SCS
John Smiroldo	- FCS		

William F. Clarke, FS, Vice Chairman: Good afternoon, ladies and gentlemen. Will the members of the Records Management Council please come to order.

Your Chairman, Paul Wirth, is unable to be with us this afternoon so I am again acting in his place. However, he left me these announcements which he would like to have made. All voting members should make a special effort to be at the May meeting, since they will be electing a Chairman, Vice Chairman, and two members of the Steering Committee. Paul has appointed the following to comprise the nominating committee:

C. V. Trowbridge, FCIC, Chairman
Gardner Walker, FHA
Fred P. Herzer, OGC

The committee will present its slate of officers at the May meeting and members will have an opportunity to make nominations from the floor. As a special treat for everyone who attends the meeting, Mr. Paulsen and some of his cohorts have worked out a doughnut and coffee snack for us.

Our speaker today, Mr. Michael Samordic, had his AB from the University of Oklahoma and then did graduate work at the University of Buffalo. At present, he is employed by the Navy Department as Acting Head of the Paperwork Systems Branch. Since 1951, he has worked in personnel classification work, as training officer, supervisory archivist, and as management analyst. For your information, the Paperwork Systems Branch of the Navy develops and coordinates forms management, reports management, directives systems, correspondence management, and techniques and controls of paperwork in the Navy Department. Mr. Samordic.

Mr. Samordic, Navy: When I first saw the announcement about this meeting, I could hardly recognize myself in the glowing terms used to describe my background. However, before my ego could soar out of all bounds, I was quickly pulled up short by the statement at the bottom of the announcement which let it be known that coffee and doughnuts would also be available at the same meeting. I knew then that I would be assured of an audience. However, I found out that the coffee and doughnuts are for a later meeting, so I want to thank you for being here without that added incentive.

Seriously, I want you to know that it's with a sense of humility that I approach the topic of today's meeting; i.e., do we need a new approach to reports management? This question has bothered us in Navy for some time. While we have come to the conclusion that a new approach is necessary, and while we have begun to develop this approach, I don't want to leave the impression that our approach is the only one or even that it is necessarily the right one -- though we are convinced at the present time that it is.

I think that I can best illustrate how we came to our conclusions by giving you a case history of our experience with reports management in terms of (1) how it has developed historically; (2) what today's management information needs are as we see it; (3) how the traditional reports management approach is faring on the basis of these demands; (4) what needs to be done to meet these demands and, finally, what we are planning on and are in process of doing.

Navy began its Reports Control Program on a systematic basis in March of 1947. During and shortly after World War II, the reporting burden had grown at a tremendous rate. Management was literally swamped with reports. The reports control -- and the control of action should be underlined -- program was considered to be the solution to their problem. When the program was begun, it had three announced objectives. The program was aimed at eliminating unnecessary or duplicate reporting. It was to insure that clear, concise and complete reporting instructions and procedures were established and simple and direct reporting methods provided, and it was to insure that adequate data was furnished to management and that proper reporting intervals were established.

All of these are worthy objectives. The stress, however, was primarily on the control aspects with special attention being given to the elimination of reports. This traditional emphasis was the first point questioned in the development of our current thinking.

This is not to say that the reports program has not been very successful with this approach. In the ten years that it has been in operation in Navy, the program has been responsible for a net reduction of 4100 reports, saved 5½ million manhours in actual reporting time and an estimated monetary savings of over 100 million dollars. These are very imposing accomplishments and this does not reflect what indirect contributions were made to more effective management.

These results were achieved by examining individual pieces of paper. The typical analytical questions of what, where, when, why, who and how were asked by the reports analysts. These questions, however, were asked in relation to individual reports which were considered as ends in themselves. Little or no attention was paid to the systems and procedures which these reports were a part of.

We have recognized for some time that such an approach is definitely limited in scope and effect. Such an analysis of individual reports offers no reasoned basis of determining what information needs. In fact, because of its attention to the piece of paper, and how to eliminate it, management needs are often completely ignored. Since it focuses its attention on the existing reports, all of its efforts are directed at scribbling these up without much thought being given to the design of reporting systems. It aims at cutting non-productive overhead by eliminating and consolidating readily apparent duplicate pieces of paper. But it does not attempt to build management information systems whose purpose is to help management to be more effective, efficient and economical.

These inherent weaknesses in the reports program as generally practiced today are highlighted by the management information picture as it exists today. We have a situation where the manager is getting too much data but very little meaningful management information. Today's manager is so loaded down with data that it is literally coming out of his ears. He often does not know what data is coming in and, even if he does, the very volume overwhelms him so that he can only make hit and miss use of it. But while he is getting too much data, at the same time he is getting very little management information since there is no attempt at the present time to build information systems with this as the primary objective. Since reports are asked for and provided on an isolated problem basis, there are great blanks in our management information flow, resulting in a great deal of meaningless and nebulous information.

At the same time that managers are being flooded under a mass of data containing very little management information which they can make ready and effective use of, managers are faced with ever-increasing demands on them. The complexity of operations has increased tremendously; consequently, managers need to have a wider range of information to be effective in their operations. But not only has the complexity of management operations been increasing, there has also been a growing inter-relationship of these operations. The manager must have information concerning other operations as well as his own if he is to do the job that is required. The manager's job is further complicated by the need to make fast decisions. You would think that because of this increasing complexity and inter-relationship, the manager would be given more time to analyze and digest the facts bearing on a problem before coming to a decision. As you well know, this is not the case. In fact, it is just the reverse, with the manager being pressured for faster and faster decisions.

People in Navy, who have been interested in this problem of increasing and making more effective the informational resources of managers, have come to the conclusion that the only solution is in the integration of management information systems. Roughly translating this concept of what they propose must be done, is that there should be a method which will insure that management information is identified, gathered, recorded, processed and transmitted in a composite or whole fashion to be available for all uses and all users. You would have one or several flows of management information which are closely inter-related and coordinated instead of the present hundreds and thousands of uncoordinated reporting systems. This management information could be tapped both horizontally and vertically by management at any level, as needed.

Now I admit that this is an ideal goal which is going to be difficult to reach. But our present state of management information demands that something be done; otherwise the electronic monsters will make the situation impossible with a lot of nothing going into them and a lot of nothing coming out.

In Navy, we see this as unexcelled opportunity for the management staffs to work as a team to design and build a management information system to fill a recognized void We also see this as a problem which will require all of the various management techniques and talents found in an organized management office, instead of the usual compartmentalized approach. While our approach was planned along reporting lines, we definitely do not see it as a reporting problem, solely or primarily. Instead, we see it as a problem which is as broad as management itself -- a fact which I hope I will make clear as I describe our planned approach.

Now how do we plan to tackle the problem? Our approach is going to be along functional organizational lines. We tentatively planned on selecting functional areas for study. By functional areas, I mean such functions as military personnel, civilian personnel, financial management, supply management, facilities management, etc. We realize that such functions are huge pieces of management effort which could gobble us up even before we started. We knew that we had to reduce the function that is picked into a manageable size. Our next step was to select a sub-function or a sub-sub-function of the major functional area chosen. For example, in the military personnel function we might pick training as a sub-function and reserve training as a sub-sub-function. Our next step in our plan of action after we have selected a sub-function, we planned on pinpointing the organizational responsibilities of the organizational units involved in carrying out the sub-function to determine as specifically as possible what their assigned organizational missions were. After this organizational identification, our next step was to go to the lowest activity or activities to identify the specific tasks performed by each unit in carrying out their responsibilities. In other words, our first steps are to select a significant part of a major functional area, determine what organizational units are involved in doing the work of the selected portion, identify what responsibilities they have been charged with, and describe how, specifically, they are carrying out their responsibilities.

After the organizational and operational environment was defined, we planned on relating the information data needs to the tasks performed. What information is needed to do each segment of the job. Who needs what bit of information, and how does he use it. Where does he get it from. In this connection, we plan on determining what the informational capabilities of the units are; what information can

they and do they produce; what other sources of information exist which can be tapped. Finally, in this portion we would also determine the best methods of getting and distributing the needed information. This section of our plan of action, i.e., relating the tasks and information needs, is considered the crux of our problem to design and build a management information system. Once this is completed, we would then analyze the reporting system problem for the following factors

1. Are there any blank areas in the information pattern as it exists presently and as it might be designed? What these blank areas are and how to fill these blanks?

2. Was there any relationship between the various bits of information and what was this relationship?

3. What methods of transmission might be used and what degree of source automation may be necessary?

4. Who the customers will be and what portion of the information will they need.

5. How frequently the information should be gathered and distributed.

This is only a sample of the type of information we plan on gathering and analyzing. It is not intended to be all-inclusive. In addition, we plan on comparing the characteristics of the pieces of information as well as the characteristics of the present reporting system and that of a proposed system, to determine common traits or standard information. We believe that we would then be able, at this point, to build the unified reporting system for the sub-function selected at the beginning. We plan on testing and evaluating the system to refine and correct it and then go to another sub-function in the same functional area and repeat the process of determining organizational responsibilities, identifying tasks, relating data needs to tasks, and so on, until we have a system of reporting blocks which we then plan on tying into an integrated reporting system for the functional area, so that we would have one reporting stream that would furnish all of the needed management information to all users and for all purposes.

After we have developed the approach and techniques according to this plan of action, we then plan on guiding and assisting operating people in the application of the techniques and suggesting areas for further application. This is our general plan of action -- to design and build an integrated functional system of reporting.

If you have any questions, I will attempt to answer them although, as I said, we are largely neophytes in this field. It is still largely theory, but we are taking action to put the theory into practice.

Question: Under your system, if I wanted a certain piece of information which was not available, I would go to the Management Integration Office for that information. Is that right?

Answer: Theoretically, that is right. What you would do is go to that functional area, say the Public Works area. You would go to that one central source and they would have all the information available on that function.

Question: Would this to some degree be similar to statistical clearing houses which have been set up in various agencies of Government?

Answer: No, because even there you don't have the complete picture - you have largely the statistics created by demand - as in the case of reports. Someone asks for a report so you have that report.

Question: I have two questions, both relating to the same point -- first, in developing this integrated management information system, do you use the information produced by your reports system now? Second, is it possible to develop, with any degree of effectiveness, this concept which you are talking about without first having a highly developed reports control system?

Answer: I will try to answer your questions in order. First - yes, we definitely take every advantage of the present reporting system. As far as the second question is concerned, I don't know. It is very possible that is the situation. We couldn't start out fresh.

Question: In other words this, rather than being a drastically new approach, is nothing more than a mutation or progression from the present reports control and reporting systems?

Answer: That is very possible - that is the reason I probably should have put the new in quotes. It is possibly just a projection of our field. But one thing we are happy about is that our bosses saw fit to say, "O. K. fellows, go ahead and do it."

Question: Have you felt out the Department of Defense relative to their going along with this kind of managerial information in presenting it to the Congress on a functional concept?

Answer: No, we haven't.

Question: If I gather this correctly, this is a vertical-type reporting system?

Answer: Right, but it could be used on a horizontal basis at any time.

Question: What I was thinking about is that when you get into a horizontal basis you have appropriations, apportionments, and allotments that can run the gamut of all of these functions you are talking about. Now, it seems to me you are going to have a problem in tying in this vertical reporting system with the Government's horizontal budgetary reporting system. They undoubtedly come together somewhere, but it is very much out in the "blue yonder," so to speak. Do you have any answers to this problem?

Answer: No, it is a problem that has been duly recognized and one we are concerned with. Our people did a very conscientious study of facilities management, and one of the things they came up with is this very fact you mentioned.

Question: In practice this is a beautiful system and it works, but then the problem comes up -- are you going to be able to use this on Capitol Hill? Are you going to have so much information that the Department of Defense is not going to adopt this kind of reporting system?

Answer: We have done nothing along those lines.

Question: This is a vertical installation -- going up, you have two sections reporting to a branch and two branches reporting to a division, etc. You actually run into a size difficulty. I can foresee, for example, a man going to his own records management division and they say, "I'm sorry, that is in the next echelon up." How far do you have to go?

Answer: Theoretically, what we have in mind since it is a vertical flow, is that there would be a necessary distillation -- that is what I meant when I said we need to know who the customers would be and what form of information they would need. You would go to one source -- that source would be in the information stream. This doesn't mean that you would go to the Bureau or Department. Someone in a field activity could go to another field activity at an appropriate echelon and be assured that he could get all the information he needed there. He not only could get it there, but what we envisage is that this would be not only an upward flow but also a downward flow, and that is something that we have paid very little attention to. So it would be a complete flow, theoretically.

Question: Would it be possible to superimpose this vertical pattern you are talking about on top of the horizontal pattern?

Answer: I really don't know, but I doubt it.

Question: You have described these generally as management reports. Does that mean you are leaving out certain other kinds of reporting areas?

Answer: No, I am using "management" in the broadest concept. I do not necessarily mean top management people.

Question: We in this Department, for example, might refer to "administrative" and "program" reports. You are referring to both?

Answer: That is right.

Question: I understand that you are looking at reports that management requests of its sub-divisions and also reports that the sub-divisions make to management to show their operations. Do you inquire into these requests from top management to see that the people below understand what they want and why?

Answer: That is right. Of course, it is a beautiful theory, but it doesn't always work out. There have been various experiments at the Washington level. There has been an interesting study conducted out at Fort Meade, that began at the top level. In other words, what does management need up there? They tried to find out from

managers what they needed, but they couldn't get any answers. It is a pretty difficult proposition, so they had to make an assumption of what managers generally need. We are working a little bit on the same assumption, with additional theoretical aspects thrown in. If we can identify what the sources are, it doesn't necessarily mean we have to put them into the reporting system. But as long as we know they exist and where they are, we know we can put that information into our pattern.

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Mr. Clarke: Thank you very much, Mr. Samordic, for coming down here. I know I certainly enjoyed it, and from the questions raised, I am sure you have given our Council members some good ideas.

If there are no further announcements, we will expect to see you all, particularly you voting members, at the May meeting. The meeting is adjourned.

Adjourned: 2:46 P.M.

Minutes of USDA Records Management Council Meeting
Held on September 10, 1958, at 2:00 P.M.
Room 124-E

Present:

R. W. Everett	- AMS	Wanda Grafton	- FHA
R. H. Lando	- AMS	Bill Clarke	- FS
W. Hillenbrand	- AMS	George D. Ferrare	- FS
E. E. Bushong	- ARS	Howard Hayden	- FS
Eleanore Matus	- ARS	Mary Bryant	- INF
Maude H. Miller	- ARS	Zelma J. Hicks	- INF
Mildred K. O'Brien	- ARS	A. Lyree Magruder	- LIB
Pearl P. Rupert	- ARS	John D. Blacken	- OAM
Paul C. Wirth	- ARS	P. J. Doyle	- OAM
Elmo B. Bryan	- B&F	J. P. Loftus	- OAM
Mary Lee Butler	- CEA	Jack H. Merritt	- OAM
Doris E. Wood	- CEA	Virginia Thatcher	- OAM
P. Beach	- CSS	Larry Tornese	- OAM
C. G. Christianson	- CSS	C. E. Wylie	- OAM
Sara Cohran	- CSS	Fred P. Herzer	- OGC
H. Rawcliffe	- CSS	L. E. Roberts	- OGC
H. B. Westfall	- CSS	William W. Brown	- PERS
Oneta Bear	- FAS	Margaret Schneider	- P&O
Ruth Donovan	- FAS	Joseph K. Allison	- REA
Charles V. Trowbridge	- FCIC	Virginia Voefersberger	- REA
John J. Smiroldo	- FCS	Dorothea E. Wallner	- REA
Harold D. Walker	- FCS		

Mr. Clarke, FS, Chairman: Good afternoon, ladies and gentlemen. Welcome to the USDA Records Management Council.

The Chairman then called for the introduction of visitors and new members and announced that Van O. Milton was elected Chairman of the Steering Committee.

Mr. Clarke: The Office of Administrative Management was created in January 1957 primarily to focus the responsibility for paperwork management in one place and give more effective leadership to the program in the Department.

Prior to 1957 records management was, as most of you recall, in the Office of Plant and Operations under Mr. Luman. Forms management was a function of Budget and Finance. Reports management was an orphan. Correspondence management had little active leadership; however, Personnel did provide and periodically revised the Department Correspondence Manual.

At the Steering Committee meeting last month it was the opinion of your officers that the best place to begin the program for this year would be to have Mr. Loftus outline Department plans and objectives for the coming year. Mr. Loftus, the floor is yours.

Mr. Loftus, OAM: I will comment on the program in perspective.

Prior to OAM. Records Administration Division in P&O formerly concentrated on records maintenance and disposition through attention to filing systems, retention and disposition schedules, and inspections or reviews to ascertain adequacy of agency performance.

Since OAM. In OAM broader responsibilities have been assumed generally comprehended in the term "paperwork management." This entails additional attention to correspondence, reports, and forms.

Recent Accomplishments. Making due allowance for stress and strain incident to the functioning of a new staff office, our accomplishments in this area in the last six months of the fiscal year 1957 and the whole of 1958 may be summarized as follows:

--Three Secretary's Memoranda (No. 1414 and Supplements 1 and 2) directed to "Common Sense in Paperwork Management," dealing with (1) correspondence, (2) forms, and (3) reports. Based on agency requests about 32,000 of these issuances were distributed in the Department.

--A study was made of standards of quality and performance in the handling of Secretarial correspondence (Secretary's Memorandum No. 1323, Supplement 9).

--OAM Action Memorandum No. 4 pointed up a need for more aggressive effort in records disposition.

--Form AD-300, "Activity Schedule" has achieved wide acceptance with 53,000 pads on order for 1959. Work on this form by Pete Doyle is an example of what he has done in revising forms in the AD series and introducing new forms. Eleven revisions were made to improve procedural practice and provide more serviceable forms.

--The "Review of Reporting Systems and Requirements" launched through the Department's Management Improvement Committee and Secretary's Memorandum No. 1420 met with considerable success. Agencies have recommended discontinuance, simplification, or

revision of 50 external reports that go beyond the originating agency. Action on internal agency reports involves hundreds of reports, but--more important--several agencies have overhauled their reporting systems. Our assistance in this area has included preparation of the Form AD-301 "Schedule of Recurring Reports" and issuance of the publication "Guidelines for Reports Review", developed by Larry Tornese.

--Through workshops on correspondence practices, based on the GSA handbook on "Plain Letters", we think a very successful pattern was set for training effort, We began with a group which represented all agencies of the Department. We followed with classes for individual agencies or groups of agencies. In that way, 298 persons were reached in 14 workshops. Agency representatives thereafter extended the training program within their agencies, bringing the total number of persons so trained to more than 1700 by June 30 of this year. ARS is planning additional Workshops this fall.

--We have also, in cooperation with other Federal agencies, assisted GSA in drafting a Federal Correspondence Manual. The draft has not yet been circulated for Departmental clearance. If it is found acceptable, it possibly will replace the USDA Correspondence Manual.

--Another training class was organized, with assistance from GSA, dealing with "Agency Mail Operations."

--Field reviews were made in the San Francisco area in California and in Wisconsin. More recently we completed what I regard as a "pilot survey" in the Rural Electrification Administration. The survey was directed to agency management operations in the field of paperwork. It dealt with (1) correspondence, (2) forms, (3) reports, (4) mail handling, (5) records maintenance and disposition.

--Several instances might be cited of special assistance to agencies. One example, I think, is notable. Working with the Federal Extension Service, Mrs. Thatcher devised a uniform filing system for use in county offices.--first in Kentucky and also in Ner Jersey. The States have been most enthusiastic, and FES personnel are extending the program to other States.

At the request of the Office of Information we participated in a "Systems Survey in the Motion Picture Service."

In the Agricultural Marketing Service a problem was encountered in filing certain personnel records. We were able to negotiate with the Civil Service Commission for alteration of a form which otherwise would have required a $5,000 purchase of special filing equipment.

In the Farmer Cooperative Service, simplified procedures were introduced for shipment of case files to the Federal Records Center.

--Perhaps some of you can recall other instances of day-to-day assistance rendered by OAM staff members. It is our desire, certainly, to earn your regard by providing stand-by help as you may need it.

<u>The forward look</u>

<u>Agency Surveys.</u> I referred to a recent REA survey. The approach taken there, which we plan to follow in other agencies, is documented in these procedures.

1. <u>Objectives.</u> Close working relationships with agencies through:

   a. Understanding of operating conditions, conducive to sound staff work in developing policies, procedures and program guides;

   b. Assistance in applying improved management techniques and principles;

   c. Providing information to Department officials on standards and progress, particularly to assure that emerging problems are promptly recognized for attention and action.

2. <u>Preparatory Steps.</u> Confer with agency officials concerning areas of special interest to them and study agency laws, organization, and program activities.

3. <u>Conduct of Survey.</u> Constructive approach should be characterized by fairness and objectivity to elicit good faith and cooperation of agency personnel.

4. Scope of Survey. The review should cover agency headquarters and typical field locations. It should document significant policies, instructions, regulations and procedures. Specific areas of inquiry will include:

   a. Placement of Responsibilities -- the agency official and lines of authority through which activities are directed and carried out.

   b. Pattern of Operation -- provision made for each fundamental activity under review.

   c. Statistical Data -- information summarizing the volume, types, cost or other factors.

   d. Trends -- current and anticipated developments, favorable or unfavorable.

   e. Recommendations -- observations made that could benefit the agency.

5. Use of Outline. A "questionnaire outline" will be used as a guide, supplemented to cover areas of special interest to agency officials or to intensify the inquiry concerning specialized fields.

6. Preparation of Survey Report. This should present factual findings for evaluation and development of recommendations.

7. Report to Agency. A memorandum to the agency head will transmit significant observations and specific recommendations.

8. Provision for Follow-Up. The OAM staff member responsible for liaison with the agency will usually be responsible for subsequent collaboration to insure follow-up action.

The next agency in line for survey is OGC.

Use of Internal Auditors. Because field activities of the Department are highly decentralized and carried out at approximately 10,000 locations (excluding State Extension Service) we believe it advantageous to use agency internal auditors in checking on records maintenance and disposition at field points. This subject has been mentioned before, but I think perhaps we have a staff office function to coordinate a Department-wide approach. For that reason we have prepared a schedule for use by agency internal auditors. It has been discussed with the Internal Audit Division of B&F. It represents minimum coverage of basic factors which auditors can readily inquire into.

Reports of Records Holdings. Our analysis of the Summary Reports on Records Holdings (SF-136) is not yet complete. BUT one conclusion is obvious. Too much difficulty is being encountered in preparing this report. Apparently there is some lack of understanding, which suggests need for better guidance. In OAM the suggestion has been made that the Council reserve the meeting in May, 1959, for a discussion of SF-136. Perhaps we might also issue written instructions.

Preliminary analysis does show this kind of a score for the Department:

Increased records holdings.	9 agencies
Decreased records holdings	12 agencies
Increased disposition	8 agencies
Decreased disposition	13 agencies

Among the larger agencies the highest rate of disposition (comparing disposals in 1958 with records on hand at the beginning of the year) was 15.4%. The lowest ratewas 6.2%.

Among smaller agencies, the highest rate of disposition was 22.9%; the lowest rate was 2.8%.

An unweighted calculation would show the 6 larger agencies averaged a rate of 13.0%; 15 smaller agencies averaged 11.3%.

When we issued OAM Action Memorandum No. 4 last January we thought we were giving some impetus to more aggressive records disposition. Results are not apparent across-the-board.

Nine agencies bettered a 15.0% rate of disposition, as follows:

22.9% - 20% - 18.7% - 17.1% - 15.7% - 15.6% - 15.4% - 15.3% - 15.1%

We need that kind of a pace to make progress. I hope we can, this year, generate some ideas for improvement. I would welcome your suggestions.

Library Survey. Secretary's Memorandum No. 1425 projected us into a Survey of Archival Material in the Library. We have followed procedures which would familiarize agency records officers with the Library problem on historical material. Based on the survey some agencies, no doubt, will assume responsibility for historic records previously referred to the Library.. The Administrative Regulations likely will be amended to deal with the situation. Incidentally, this survey has a second phase. Later this fall field visits will be made to selected locations to study the adequacy of Library services in the field.

Disposal Authority for Certain Personnel Records. I assume everyone has seen OAM Advisory Memorandum No. 15. Department-wide authority now exists for disposition of case files on disciplinary actions, investigations, grievances, etc. This type of determination suggests that we might do more along this line.

And it reminds me of another records retention problem of general interest, namely the requirements imposed on the public when regulations are published in the Federal Register. We have been working with the Statistical Standards Division of AMS to get Department policy firmed up on this front. An OAM Action Memorandum (#9) is in the mill designed to alleviate the burden on private business firms and individuals resulting from failure to state in the regulations reasonable retention periods for non-Federal records.

GSA Workshop on Filing Systems. Mr. Sterman of GSA recently informed us that his agency is planning to develop materials for a Workshop series on Filing Systems. It may be a year before they are ready, but they have sought our help in gathering case data and exhibit material.

Summary Outlook

a. Surveys. If we can extend the survey work that we began in REA and concentrate on the job, I think we can reach 5 or 6 agencies this year. Perhaps only one large agency will be surveyed, since I would like to perfect our approach in working with the smaller agencies. That quota would assure a fairly active schedule, in any event.

b. Publications and Issuances. As you know, we have the job of transferring material in the Administrative Regulations from other titles to a new Title 10 covering OAM areas of responsibility. That has been a slow job. We have considerable material drafted, and with Mr. Wylie's experienced hand to guide the operation, I hope we can soon issue such regulations. One problem is this: if we try to refine and revise existing regulations we obstruct our own progress and run the risk of disconcerting you with new material. We have decided to make minimum changes at this time in assembling material for Title 10. We hope that improved regulations dealing with OAM's entire area of responsibility will follow under a procedure providing for your participation, i.e., consultation with agency representatives on new regulations.

c. Constructive Effort. I'm convinced that in the records management field people need (1) persevering energy and (2) lots of patience. I think too that records management should contribute to greater effectiveness of agency programs. Only as records management does aid the operating official can it win his confidence and active support. One agency official told me during the past year that records management could expect no favored treatment--that the records officer, like anyone else, had to peddle his goods and sell his merchandise. Those may sound like hard words, but I understood him to mean that unless records work is made meaningful and beneficial, unless it helps the other fellow, does something respectable in advancing agency program objectives--then necessary chores will seem unrewarding and unappreciated. To earn some appreciation, let's go forward trying to be helpful. One sound approach would seem to be emphasis on filing systems. Many people in and out of Government have a genius for fouling up files. That leads to a need which you can meet.

In meeting such needs, the odds are in your favor that constructive, beneficial results can be realized.

I have in mind the success of CSS in introducing a uniform filing system for county offices.

I have in mind the Forest Service effort, in revising their Manual, to install an integrated filing system based on consistent numeric references.

I have in mind recent experience in the Office of Budget and Finance where files of the Accounting Division have been overhauled much to the satisfaction of the Division Chief.

I have in mind what the Commodity Exchange Authority did in working out for the Chicago office a filing system consistent with that of the headquarters office.

Jimmy Austin did this kind of a job in the Office of Hearing Examiners. He also is providing shelf-filing for the Department's Judicial Officer.

Several agencies, as in the case of ARS and FHA, have improved their disposition of records. FHA, I understand, last year made State-by-State comparisons and dealt individually with those states needing attention.

As you know, the Department is now calling for semi-annual management improvement reports from agencies. When the reports come in, I hope some records management projects may be found worthy of inclusion.

Mr. Clarke: Thanks Mr. Loftus for what was a very interesting talk. Are there any questions?

I would like to announce that OAM has designated Larry Tornese as their representative for this year,

Are there any nominations from the floor for the Steering Committee vacancy created by the resignation of Mr. Paulsen?

Mr. Wirth: I nominate Bob Lando.

The nomination was seconded and closed and Bob Lando was unanimously elected as a member of the Steering Committee.

Mr. Doyle: I have an announcement to make. We are losing about one block of space in the depository because of work being done by the air-conditioning engineers. The space involves rows 33-52 and 97-116 and will need to be vacated in about two weeks. Any agencies having records in these rows should contact us for further information.

Mr. Clarke: If there is no further business, the meeting will adjourn.

Adjourned: 3:00 P.M.

Minutes of USDA Records Management Council Meeting
Held on October 8, 1958, at 2:00 P. M.
Room 124-E

Present:

Everett O. Alldredge	- GSA	Gardner Walker	- FHA
L. T. Milbourn	- AMS	William F. Clarke	- FS
Charles D. Barrick	- ARS	J. Howard Hayden	- FS
Mildred K. O'Brien	- ARS	Ansgar Krog	- FS (Oslo)
Paul C. Wirth	- ARS	Hayden Owens	- FS
E. B. Bryan	- B&F	Mary G. Bryant	- Inf
Richard Herr	- B&F	Zelma J. Hicks	- Inf
Mary Lee Butler	- CEA	A. Lyree Magruder	- Lib
Anna Mae Reid	- CEA	John D. Blacken	- OAM
C. G. Christianson	- CSS	P. J. Doyle	- OAM
Sara L. Cohran	- CSS	J. P. Loftus	- OAM
J. L. Talbert	- CSS	V. W. Thatcher	- OAM
Oneta Bear	- FAS	Larry Tornese	- OAM
Ruth Donovan	- FAS	C. E. Wylie	- OAM
Felton E. Robey	- FCA	James L. Miller	- OGC
Van O. Milton	- FES	L. E. Roberts	- OGC
Gordon Sproles	- FHA	C. J. Frasemer	- REA
C. H. Van Natta	- FHA	G. E. Lewis	- SCS

Mr. Clarke, FS, Chairman: Good afternoon, ladies and gentlemen, welcome to the October meeting of the USDA Records Council.

Before our speaker for today is introduced, we would like to meet and welcome our guests.

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Mr. Hayden, FS, introduced Mr. Hayden Owens of his own division and Mr. Ansgar Krog, Director of Administrative Management, Norwegian Forest Service, Oslo; Mr. Bryan introduced Mr. Richard Herr of the Office of Budget and Finance; and Mr. Walker introduced Mr. Van Natta, Assistant Director, Business Services Division, FHA.

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Mr. Clarke: You know from the meeting notice that Mr. Alldredge is Director of the Program Development Division, Office of Records Management, General Services Administration, and one of the foremost authorities in the field of records management. What you may not know is that "Ev" Alldredge has an unusually fine educational background, having done undergraduate work at De Pauw University, Indiana, and obtained his Ph.D. from Harvard University. He has also done post-graduate work at Cambridge University in England.

He served in an advisory capacity to Task Forces of both Hoover committees, and has twice been cited for outstanding service. One citation was by the Navy for his service to them during the war; the second was by GSA for his more recent service to that organization.

I am sure we will enjoy your remarks today, Ev, and the floor is now yours.

Mr. Alldredge, GSA: Certainly I want to thank you for letting me meet with you once again. I never want to wear out that welcome mat.

As Mr. Clarke has indicated, our ten regional directors were in town last week for a five-day conference. As you might expect, we used the occasion to look to see where we had been in FY 1958 and then where we were headed in FY 1959. In reporting that meeting to you, let me first tell you how our records management office in the National Archives and Records Service is organized to serve the Federal Government.

We have three divisions. The Records Center Division provides professional leadership to our 15 records centers, now swollen with five million cubic feet of records since absorbing the general purpose records centers of the Department of Defense. This Division is small, but it controls most of our field establishment and administers 80% of our budgeted funds. Its Director is Lewis Darter.

Our Agency Surveys Division makes management audits of an agency's paperwork when requested by an agency to do so. These audits can be confined to any one segment of the paperwork effort, if that is the agency's desire. At present, we have surveys under way in the Administrative Office of the U. S. Courts, the Coast Guard, Office of the Secretary of Labor, the Board of Governors of the Federal Reserve System, the Office of the Secretary of Health, Education and Welfare, the new National Aeronautics and Space Administration, the National Institutes of Health, the Bureau of Public Roads, and the Bureau of Customs. We just finished surveys for the Investigations Division of the Civil Service Commission and the National Buying Division of the Federal Supply Service, GSA. Chester Guthrie is Director of the Agency Surveys Division.

I am Director of the Program Development Division. Our task is to promote records management in such a way that all Federal paperwork management programs will benefit. We are compelled to work in eight areas of paperwork to achieve that goal. The eight are:

1. Records Disposition
2. Files Management
3. Files Classification Systems
4. Correspondence Management
5. Forms Management
6. Reports Control
7. Directives Control
8. Mail Management

We have at least one specialist in each of these fields, and in addition have two office equipment technicians (including ADP) on our staff.

It has seemed to us we can be most helpful to agency programs through developing workshops in each of the eight areas. These workshops can be taken over by any agency and used for all the mileage there is in them. To develop and conduct a workshop, we in NARS must prepare the technical guides and the visual aids necessary for good presentation.

During FY 1958, our workshop effort was in the areas of correspondence and of mail. We had two workshops, and both were available in the field as well as in Washington. In the field, of course, the responsibility falls upon our Regional Directors. The results accruing from agency acceptance of the two workshops were good in those places where follow-up took place.

Follow-up reminds me that producing benefits is good, but it is not enough. In addition, there are two other things we ought to do. In the first place, we've got to keep count of the benefits, tab them, mark them down. The second thing. I think we've simply got to do is somehow get the information about the benefits topside.

Most of you have participated in the Correspondence Management Workshops. They seemed to be simplicity itself. You went to a number of classes several days in succession. You tried to get people stirred up so that improvements could be made. But did you also measure the "before" and "after" picture? Here, something like a sample is necessary. The sample can be the office "day" file.

The most interesting sampling has been done by the Veterans Administration Insurance Department. On the 12th of every month the insurance offices send in to Washington the letters typed on that day. From these, the best are chosen and pen set awards given. Other VA offices also give awards for the best letter of the month, based on a one-day sampling. This kind of promotion really makes the program go.

In talking with our ten Regional Directors, the following were the points most often made. For ease of reference, I shall number them.

1. GET BEHIND THE FORM LETTERS PROGRAM. If the correspondence workshops have any disappointing features to us, it has been that the form letters portion did not get as fair a trial from the agencies as did the plain letters portion. And yet, there is such a real payoff in form letters that we really have not done right by our records center program anywhere until we have fully exploited form letter potentialities. It doesn't take a great number of form letters to get results. Here are some typical examples of what I mean:

12 new form letters will save approximately 6,000 dictated letters annually at the Commodity Stabilization Service, Portland, Oregon.

7 additional form letters developed, saving 19,200 handwritten letters a year at the Training Center, Fort Dix, New Jersey

5 new form letters, 7 new guide letters developed, saving 4,800 handwritten letters per year, Regional Office Railroad Retirement Board, New York.

8 new guide letters will save preparation of 12,000 dictated letters a year at the State Office, Selective Service System, Portland, Oregon.

I could go on and reel off two more pages of examples like this. The point I am trying to make, however, is that none of these offices are big offices. None of them are big correspondence papermills. In none of them were large numbers of form letters developed, but notice, in every case, how many dictated and handwritten letters it saved from being written. These are the kind of savings that can be measured, they are the kind of savings that will please your boss.

2. ELIMINATE COPIES. The second big benefit that has come out of Correspondence Workshop follow-up is the number of copies eliminated. Here again, it's been surprising what some of the people have done in a very brief time after the workshop has been completed. For example, the Corps of Engineers in New York, three weeks after the Correspondence Workshop, had a huddle of the Branch and Division Chiefs and they decided to take a look at the copies they were making. They asked themselves how many copies could be eliminated if they took the thing seriously. They have eliminated 200,000 copies annually so far. The same thing was done over at the Headquarters of the First Army. There, at one meeting, just by going around and asking the various chiefs how many copies could be given up, by finding out where copies were going and what was being done with them, they have eliminated 60,000 copies annually. That is the kind of benefit that we people in Records Management can produce fairly easily if we'll just take the time to follow up on such things as Correspondence Workshops.

3. REDUCE REVIEWS. Here is an especially productive area. Fort Dix is an example of what any activity can do. When the officials there had their follow-up meeting, they were impressed by the fact that too many letters were being signed too high up the line. Too many letters were being signed by the CO which could be signed by some of the Staff Assistants. Staff Assistants were signing letters that could be signed by the Division Chiefs. Too many letters were being signed by Division Chiefs that could be signed by Branch Chiefs. In fact, the CO was signing too many letters that could be signed by Branch Chiefs. That, of course, really chews up executive time and in the case of Fort Dix the reviews have already been cut down by 130,000 annually.

Other typical examples are:

a. Reviews of correspondence reduced on an average from four to two per letter, saving 80,000 reviews a year in the Office of the Engineer District, Corps of Engineers, New York City.

b. Reviews cut approximately 50%, or 90,000 a year at the Transportation Supply and Maintenance Command, St. Louis.

4. INCREASE THE USE OF WINDOW ENVELOPES. A good many of the places, after having Correspondence Workshops of their own, took a look at their window-envelope situation and asked, "What can we do here? How many more letters can we get out in window envelopes? To what extent will they help us?" Some studies have been made on window envelopes and it turns out that if you can send five or six hundred letters per day in window envelopes you can save about a man-day.

It's surprising how many of these small offices, by having a meeting, kicking the thing around for a couple of hours, have been able to agree that there are some categories of correspondence not now going out in window envelopes that can. I have a list here of a group of offices. One found 6,000 or more letters could go out in window envelopes; another 20,600; another 35,000; and another one 48,000. That kind of thing is a benefit; it is the kind of thing that lends a certain amount of stature to the records management program when you total up the benefits.

5. USE AND SIMPLIFY ENDORSEMENTS. An increasing type of benefit is typed endorsements replaced by stamped or handwritten endorsements. I know the word endorsement means one thing in military and it seems to mean another in civilian agencies. Even so, one of the things that has been pretty obvious to us as we looked at people's correspondence, is the amount of incoming letters where you can just scribble a reply on the bottom of the letter, send it back, and everybody will be quite happy about it. One of the things that really has surprised me as I've looked at more and more Government correspondence is how <u>routine</u> it is. I don't want to say that in a disparaging sense. Actually, the same is true in industry or commerce. There the correspondence is amazingly routine. The minute you can get people to admit to the knowledge that it is routine, however, you are well on the way to getting them to handle it routinely.

If you write me something that I can, without offending you or anyone else, use a stamped endorsement to answer your letter, I've saved my typist some typing. I can get my reply back to you very quickly. As a matter of fact, I can get it on its way to you within fifteen minutes after it hits my desk. You'll like that. As a matter of fact, it was probably some innocent question that at the moment was puzzling to you. You wanted the answer fast and here you get it back fast. You don't care whether it comes on a separate piece of paper neatly typed and everything. All you wanted was the information. There is an increasing amount of stamped endorsements being used in the Government.

For example, 10% of the correspondence of the Engineer District, Corps of Engineers at St. Louis is given stamped endorsement with 2,400 man-hours saved each year. In the case of the First District Headquarters, Coast Guard in Boston, stamped endorsements replace 1,000 letters annually.

Mention of the Coast Guard reminds me how much endorsing the Coast Guard is doing with its Reservist correspondence. The Coast Guard does not have the size of our friends in the Army, Navy, and Air Force. It must run its Reserve program on a smaller scale. It doesn't, of course, have as many Reserve Training Centers where you can telephone and get a problem answered. If a Coast Guardsman wants a question answered, he writes Headquarters. Headquarters will put the reply right on the bottom of his letter and send it back to him. What are we dealing with here? It isn't any new policy being uttered. It is something on which the policy of the Coast Guard is very well set, a policy, at least around Headquarters, very well known and very well understood. If another Reservist asked the same question he would get the same pre-planned answer.

6. REDUCTION IN VERBIAGE. Another kind of benefit which we have found in this correspondence field is the reduction in the length of letters. A lot of people gathered samples of letters for a few days before we began the workshop. They had staff meetings in between. Four weeks after the workshop they ran another sample. Here again, we were quite surprised by the reduction in the length of letters. One office on an average dropped from 27 lines per letter to 11 lines per letter. That automatically doubled the work the typist could do. Of course, that office had a good many types of form and guide letters. In that office the girls were doing about 22 letters a day, apiece. After running this study and after doing some work on the length of the letters and yet saying everything that needed to be said, the girls could do about 42 letters a day. There again, the increased productivity did not result in any greater work for the girls, it was just a general saving all around.

Consider these cases:

> Verbiage reduced 40% at the Farmers Home Administration in St. Louis; in Atlanta, FHA letters now average 12 to 15 lines instead of 23 to 29 lines.
>
> The Regional Office of VA at St. Louis was able to cut its letters in half; while Forest Service in San Francisco reduced the length of its letters 20%.

I'm talking about something which has the warranty of experience; and, therefore, it's something which you can do with the right kind of follow-up. You simply get the people around a table and say, "Now we've had this workshop; you've attended four sessions; you've heard various things talked about; since none of you protested, presumably you've agreed with the principles that were talked about there. Now what can we do about it? We were told that we could write shorter letters, now let's prove it. Here are some letters that we've been writing for the last week. Now let's take a look at these and see where we can shorten them." In this process, as I say, just by counting the decreasing length of the

letter, you have a statistic that you can show your boss. It is a statistic that is meaningful. Certainly anybody knows that if you can still cover the subject in 11 lines you are reaping advantages for your office over letters that were running 24 and 25 lines in length.

7. REDUCE REWRITES. I guess in some ways, the most amazing thing to me about correspondence, other than the fact that so much of it is routine, and I do mean routine, has been the number of rewrites that get produced in the Government. I don't want to mention names here, but we just finished surveys in three Cabinet offices. In each case, the number of rewrites were more than 30%. In one case, the secretary of the department was sending back 38% of the letters to be rewritten. In another case it was 34%, and in the third case 32%. If you stop to think for a moment, there just can't be any doubt in your mind about the amount of staff time such rewriting is wasting.

Well, here again, you can keep count. In a good many offices every time a letter is rewritten, it is noted in the corner that it has been rewritten. If it has been rewritten twice, that is annotated as rewrite #2. If you don't want to do that as a practice, do it for a test period. In other words, for a week tell everybody every time they rewrite a letter (or tell the typist every time she has to retype a letter) to put down in the corner rewrite #1 or rewrite #2, whichever the case may be. Then you can run another test sample later and see how many less rewrites there are. If there hasn't been a reduction in rewrites, then you know there is a communications problem between the signers and the writers. And once again you have to get one of those meetings around the table where the boss can tell his people a little more clearly apparently than he has, who the sacred cows are and what kind of ideas on correspondence he has which tend to make him send so much back for rewrites.

I didn't realize until our correspondence workshops were held that there was so much rewriting going on in the Government as there is. As I say, this 30% thing is not unusual at all. As a matter of fact, I went into one office in Washington where there was a 90% rewrite rate! It was the most frustrated office I have ever gone into. The tension could be cut with a knife. I don't need to tell you that the morale was very low and production was almost at a standstill. The only thing we could do there was to try to establish communications between the boss and his people.

One of the things we did, was to take a room, just about this size, and just line the walls with letters that came to the boss that he wouldn't sign, posting neatly underneath it the letters he did sign. Branch Chiefs and Division Chiefs found that room a very helpful room. At the end of about two weeks, a pattern began to emerge in their minds. They began to see the kind of things the boss just wouldn't buy. Then it was possible to have a staff meeting and, on the basis of these actual examples, sit down to discuss the problem. In some cases, they were

able to change the boss' mind. They actually convinced him the "after" wasn't sufficiently different from the "before" to serve going through all the rewrites that you have to go through with, including a new set of carbons and all that. In any event, it took about six weeks to do it, but we got the rewrite rates down to about 10% in that office. As we would say in the Navy, if it wasn't a taut ship from that time on, at least it was a happy ship. There again, it's something you can put your fingers on, a 90% drop to a 10%. It's statistically measurable; it's understandable; and it's the kind of thing that makes the Records Management Officer valuable.

These are the kinds of things that are helping make the Records Management Officer popular in the Government. They are helping make his role in administrative process more understood and more appreciated.

Let me now proceed to <u>mail management</u>. Most of you probably have already attended our mail management workshop. If you have not done so, I hope you will.

1. GET DATA ON PROCESSING TIME. Most of you are records officers and the common complaint of records officers in the field of mail is that they do not make the decisions. Records officers say that if they did, certainly the mail would move faster and at less cost. I am willing to grant that records officers do not generally get to make the mail management decisions. But that does not mean that there is nothing for the records officer to do. Actually how can you expect the executives to make the decisions without facts. How can he be expected to move the mail faster if he doesn't know how fast it is now moving. What I am saying is this. It is not difficult to get data on the amount of time transpiring between the receipt of a letter in the mail room and the time the outgoing reply also hits the mail room. This kind of thing can be charted and faithful statistics kept on some kind of sampling basis. If you present the boss with a statistical presentation showing that 3% of the letters were replied to in over 90 days after the receipt of the incoming letter; 7% of the letters were dated 60 days after the date of the incoming; and 11% of the letters were dated 30 or more days after the incoming -- well my guess is that the boss would be interested and would take action.

2. GET DATA ON PROCESSING COSTS. What applies to the time factor also applies to the cost factor. In the mail workshop we say that mail can be processed for 77¢ an item. Unless your boss knows whether his processing costs are in the neighborhood of $1.00 or $3.00, he doesn't know whether to be excited or not. If you can present him with a statistical study showing him how much is being expended for mail processing, at least he is in a position to make an informed decision. This has another advantage. If he does give you the go ahead sign to reducing mail costs you already have your "before" figure. Then when your actions are completed, another study will show you the "after" figure.

Although it is parenthetical in nature I must say that our records officers who are doing best are those records officers who know most surely what they are saving their agents. Commodity savings -- pieces of paper, filing cabinets, square feet of space, man-hours -- are just as gratefully received by the executive as monetary savings. He can translate one from the other if he cares to.

3. GET DATA ON CLEARANCES. Those of you who have heard our mail workshop presentation know that we have a good many unkind things to say about the cost of clearances and the way they slow the mail down. Once again, however, I am not sure how an executive can be expected to get properly enthused about the subject until he has some facts and figures on the clearance problem in his own organization. In this situation, the records officer can promote good records management best by serving as a catalyst. From the files he finds out what the average number of clearances are on outgoing mail and possibly the varying types of mail. He then has something to show the boss. If the average is higher than 3, you have a chance of getting action and the kind of action you want.

4. GET DATA ON CONTROLS. The Second Hoover Commission was especially harsh on our penchant in the Federal Government for over-controlling our mail. Those of you who have seen our handbook called <u>Agency Mail Operations</u> may recall that on pages 38 and 39 of that handbook we have a guide to determine the handling for various kinds of mail. Very few items indeed are marked for control. As a matter of fact, my staff tells me that agencies following that guide are not controlling more than 5% of their mail. Do you know what percentage of your mail is being controlled? If you don't know whether it's 5%, 15%, or 25%, it's pretty certain your boss doesn't know. If it's 5% or less, he has no real grounds for concern. If it's 25%, however, the chances are that he will express willingness to go into action. Someone must make this study. I know of no one in a better position to make this study than the records officer. Such studies in my opinion promote good records management.

Now, let's take a look at FY 1959 -- Here, we in the National Archives and Records Service will be pushing two more workshops -- one on <u>forms management</u> and one on <u>records disposition</u>. In both workshops follow-up has been built into the workshop. Every person who participates in the workshop must take on an assignment and complete it.

In the records disposition workshop, the person can take any one of the following assignments -- whichever is the most appropriate:

1. Propose a retention period for a series now unscheduled.
2. Shorten the retention period on a "retain" item.
3. Transfer records to storage, as a Federal Records Center.
4. Introduce a break into the files.

5. Clarify hazy items in records control schedules.
6. Stop weeding practices.
7. Stop filing unneeded documentation.

I hope all of these points appeal to you as ones which need to be made in such a workshop and be made in such a way that those in attendance will never forget the points made.

Whether to file at all is a point well worth making. Ed Leahy tells a story of the man who died and who was known as a "string saver." No one was surprised when the executor of his estate found in his home a box labeled "string" -- and sure enough it was full. People were surprised to hear, however, that he also had a box marked "string too short to save" and it was full too. This is the trouble with so many of our files. They are full of strings too short to save.

A great many pieces of paper cross the desks of all our Federal executives. Either through habit or an unawareness of what is involved, they know but one thing to do with those pieces of paper -- that is to drop them in the box marked "for filing." Actually, if they would reflect for a moment they would know that they would not have any future reference to the piece of paper in question or that it would add nothing to the files. In such cases, they should spin around in their chair and deposit the item in the waste paper basket. If we can get a greater awareness on the part of our executives to destroy what is essentially non-record, our files would be less bulky, fewer filing cabinets would be needed each year, and less space required for those files. While all of us know the limitations of the motto, "don't file it -- throw it away," not all of us have realized the extent to which it can be followed.

For example, if I were to telephone you tomorrow and ask you a question, the chances are that you would give me the reply right off. The chances are that you would not then go to your secretary and say, "let's make an aide memoire to the files on a conversation I just had." Yet, if I were to ask you the same identical question in a memo, the chances are that I would not only get a written reply but you would make the usual four copies and file them all. My staff tells me too much of this is being done everywhere in the Federal Government.

Mr. Clarke: Thank you, Mr. Alldredge. If there is no further business, the meeting is adjourned.

Adjourned: 3:00 P.M.

Minutes of USDA Records Management Council Meeting
Held on November 12, 1958, at 2:00 P. M.
Room 509-A

Present:

Seymour Pomrenze	- Army	Harold D. Walker	- FCS
Albert Whitt	- Army	Christine Miller	- FES
Herbert Geiger	- Army	Van Milton	- FES
W. Hillenbrand	- AMS	Howard Hayden	- FS
James H. Hopkins	- AMS	Thad A. Lowary	- FS
R. H. Lando	- AMS	Charles G. Manley	- FS
L. T. Milbourn	- AMS	D. E. Taft	- FS
Edna E. Bushong	- ARS	Mary G. Bryant	- Inf
Gertrude Cunningham	- ARS	Marie W. Henderson	- Lib
Maude H. Miller	- ARS	John D. Blacken	- OAM
Mildred K. O'Brien	- ARS	Peter J. Doyle	- OAM
Paul C. Wirth	- ARS	J. P. Loftus	- OAM
E. B. Bryan	- B&F	V. W. Thatcher	- OAM
M. L. Butler	- CEA	Larry Tornese	- OAM
Anna Mae Reid	- CEA	C. E. Wylie	- OAM
Sara L. Cohran	- CSS	W. E. Bawcombe	- OGC
H. C. Perry	- CSS	Fred B. Herzer	- OGC
H. B. Westfall	- CSS	L. E. Roberts	- OGC
Oneta Bear	- FAS	James H. Austin	- P&O
Charles V. Trowbridge	- FCIC	Nuel Hurtick	- SCS

Mr. Clarke, FS, Chairman: Ladies and gentlemen, welcome to our Records Management Council meeting today. First, I would like to have anyone who has visitors here to introduce them, so we will know who our new friends are in the group, and I am sure there must be a number of folks who haven't been here before.

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Mr. Hayden, FS, introduced Mr. Thad Lowary of Missoula, Montana, and Mr. Donald Taft of Philadelphia, who recently joined the records management staff in the Forest Service. Mrs. Virginia Thatcher introduced Mr. Bawcombe from the Office of the General Counsel.

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Mr. Clarke: It is a pleasure to introduce the gentlemen who are going to present this program to you. I was lucky enough to see this same presentation six months ago at the Archives Building, and found it very interesting. It is something the Army is doing that may well lead the way into a field of greater paperwork coordination for other agencies. The presentation today will be made by Mr. Seymour Pomrenze, Assistant to the Chief, Surveys and Standards Section, Records Administration Branch, The Adjutant General's Office, Department of the Army.

Mr. Pomrenze has been with the Federal Government since 1941. He served as a member of the National Archives staff from 1941 to 1951, as Assistant Chief of the Army's records center in Alexandria, Virginia, during 1951 and 1952, and has been a member of the Army's records management staff since 1952. Among his many duties, Mr. Pomrenze monitors the Army's records management training program and he is also professorial lecturer on records management for the American University. He will be assisted during the question period which will follow the main presentation by Mr. Albert Whitt, who is Assistant to the Chief, Systems and Equipment Section, Records Administration Branch, the Adjutant General's Office, Department of the Army. Mr. Whitt has been with the Department of the Army since 1941, and in its records management program since 1943. He served as a member of the Army's records management staff since 1952, and was the Section Project Officer for the Army's functional files system.

The other gentleman with us today is Mr. Herbert Geiger, Assistant to Mr. Pomrenze on training matters, and today he will assist him in the visual presentation. However, Mr. Geiger is not just a machine operator, he is also the author of a text on records management recently published by the Adjutant General's School at Fort Benjamin Harrison.

We plan, after the presentation, to have a question and answer period and these gentlemen will, I am sure, give us answers as to their procedures and to other questions that may occur to you during the program. Their program was very well received at the Archives, and it is really with a great deal of personal pleasure that I present Mr. Pomrenze.

Mr. Pomrenze, Army: Thank you very much, Mr. Chairman, Mr. Loftus, ladies and gentlemen. It is a pleasure to come here this afternoon to make our presentation on The Army Functional Files System, or TAFFS. We feel that this material will prove of benefit to all agencies in the Government.

My relations with the Department of Agriculture records management staff have been very pleasant. I am always asking for things and receiving cordial replies. Mr. Loftus recently gave me materials for use in my classes at the American University. At one time, unwittingly, Mrs. Thatcher was "loaned" to work together with me in a GSA workshop. Between the two of us, we had lots of fun raising questions for the instructors.

SCOPE OF BRIEFING

This briefing covers TAFFS. We originally called the system IFS, or Integrated Files System. However, more recently we felt that the emphasis should be on the functional characteristic of the system rather than the "integrated" characteristic. Thus the change of name to TAFFS.

TAFFS was developed and field tested in USAREUR - United States Army, Europe, and further tested in the continental United States at a variety of Army agencies, installations and activities. The system would eliminate some complicated procedures and difficulties in our CURRENT FILES SYSTEM and our RECORDS DISPOSITION SYSTEM.

These difficulties have been of concern to us in the Army, to GSA, and to the Second Hoover Commission. The Task Force on Paperwork Management pointed out the problem in a study group report of 1955 and recommended that coordination be achieved between filing and disposition systems for two reasons:

1. To provide easier access to material which has been filed.
2. To make disposal more simple when retention periods for files expire.

In 1956, Mr. Ollon D. McCool, the Chief of the Army Records Management Program, and I visited USAREUR. We found them in the midst of an interesting experiment. They were developing a system to wed together current filing arrangements and records disposition procedures. We saw their work, liked their ideas and enthusiasm, and recommended continued experimentation. Upon our return to the United States, we briefed the Adjutant General, Major General Herbert M. Jones, and his superiors on the new system, pointing out particularly the promotion accomplished by the USAREUR Adjutant General to gain support for the new system. On January 1, 1957, USAREUR adopted the new system, with the approval of Headquarters, Department of the Army.

The next step was inevitable. Why not extend the application of the new system to the continental United States and to the rest of the Army Field Commands. We worked over the USAREUR version, giving it a new name, TAFFS, and making adjustments to fit a broader area of operation. On January 1, 1959, TAFFS becomes mandatory throughout the Army Field Commands. On January 1, 1960, it will become mandatory throughout the entire Army Establishment.

ARMY FILING SYSTEMS DURING THE PAST 40 YEARS

One word about the past, before we discuss the elements of TAFFS. The Army has been using the War Department, or Department of the Army, Decimal Classification Scheme, along with many other filing systems, since World War I. The decimal scheme, or decimal system, has remained almost static. There was no real hurry to revise it prior to 1939; and after 1939, Army people were too busy to do much with it - although some slight revisions were made in 1940-1943. The decimal scheme, therefore, is essentially a World War I system in concepts and terminology.

Up until 1956, the decimal system was mandatory throughout the Army. However, it was little used at Headquarters, Department of the Army - except in central file rooms. However, in the Army Field Commands it is more widely used. In 1956, we issued an Army Regulation, AR 345-210. This regulation, by inference, eliminated the mandatory use of the decimal system. TAFFS will mean the full elimination of the decimal system.

DEFINITION OF TAFFS (Vu-Graph 1)

TAFFS may be defined as a system designed to provide a single method of arranging files for both maintenance and disposition purposes. It is intended to replace two unrelated systems now employed in the Army: the War Department Decimal System and the records control schedule system for disposition.

BASIS FOR TAFFS (Vu-Graph 2)

What is the basis for TAFFS? The basis for TAFFS is the series of regulations now in effect in the Army, which prescribe disposition instructions for nearly all files of the Army Field Commands. These regulations are called the "AR 345-200 series." The vu-graph gives you twelve of the regulations; our 1958 revisions add two more: AR 345-245 on multifunctional files; and AR 345-252 on research and development files. Thus we cover all the major functional areas in which the Army is working:

1. AR 345-245 Multifunctional Files
2. AR 345-250 Management and Planning Files
3. AR 345-252 Research and Development Files
4. AR 345-255 Finance and Fiscal Files
5. AR 345-260 Legal and Informational Services Files
6. AR 345-262 Civilian Personnel Administration Files
7. AR 345-265 Military Personnel Administration Files
8. AR 345-268 Training and Educational Files
9. AR 345-270 Medical Administration Files
10. AR 345-274 Intelligence and Security Administration Files
11. AR 345-276 Communications Services Files
12. AR 345-278 Transportation Services Files
13. AR 345-280 Supply Administration Files
14. AR 345-285 Facilities Administration Files

These regulations contain a comprehensive description of Army files and provide disposition instructions. They do not prescribe procedures. Under TAFFS, the AR 345-200 series is used to identify files in terms of the major functions -- management and planning, research and development, legal, informational, finance and fiscal, etc. -- and subfunctions, defined in each functional area.

For each functional area in one of the above-cited Army regulations, there is spelled out in some detail where, organizationally, the files are accumulated. For example, the training and educational functional area, AR 345-268, includes files accumulated by military units and installations in which military training is conducted or from which training is directed or supervised. Also, dependent school files that accumulate in connection with providing educational opportunities for eligible dependent children are defined in these regulations. Documents and papers pertain to these subfunctional areas:

1. General administration of training programs.
2. Academic records of individuals and classes.
3. Inspection of training activities.
4. Distribution of training aids, publications, and film.
5. Enrollment and attendance activities.

HOW TO DETERMINE FILE NUMBER, FILE TITLE, RETENTION PERIOD (Vu-Graph 3)

Using the Army regulations as the basis, how does one determine the file number, title, and retention period under TAFFS? These determinations are accomplished in a very simple way. The difficult part is the mental process in deciding which functional area and which subfunctional area of the regulations apply to a given piece of paper. Once that decision is made by the file clerk, the other determinations are simple to achieve.

The file number, as illustrated by Vu-graph 3, is obtained by using the last three digits of the Army regulation into whose functional area the paper falls, followed by a slash, followed by the number of the paragraph of the subfunctional area in which the paper falls. In the illustration on the vu-graph we are dealing with papers that concern military line of duty board proceedings. The papers fall within the regulation that deals with military personnel administration, AR 345-265. Within that regulation, the paragraph that deals with line of duty board proceedings is 89. Therefore, the file number is 265/89.

The file title is again obtained from the related Army regulation. In our illustration, we use as the file title, Line of Duty Board Proceedings Files. This is a fixed title, determined by Army regulations, and it will be used on the file folder, file guide, or file drawer, as necessary. One other item that is essential to tie files arrangement and files disposition together involves the retention period for the file. How long is it kept? Here, too, we turn to the paragraph in the appropriate regulation that describes the files and prescribes disposition instructions. In our example, the standard is 5 years, and this is the information we place on the label after the file number and file title. Thus the label, in its barest form, would look like this:

265/89 Line of duty bd procdgs files. 5 yrs.

To the file clerks, their supervisors, the administrators, records management personnel, etc., the above information means that these files, in the Army Field Command, would be cut off at the end of each calendar year, held in the current files area 1 year, transferred to the local records holding area, held there 4 years, and then destroyed there.

Thus the determinations are all spelled out in an official Army regulation, approved by the Secretary of the Army, with the blessings of the National Archives and the Congressional committee on the disposition of useless papers. Little is left to guesswork, once the mental process of tying the papers to their proper functional and subfunctional areas is accomplished.

Labeling becomes very important under this system, and we are teaching our people of its significance under TAFFS. Where to label is also important. Obviously every folder does not need a label, if all the folders in a drawer or cabinet contain the same type of files. One label on a drawer, or one label on the first drawer of a cabinet might suffice. It all depends on the files that you have.

ARRANGEMENT OF FILES (Vu-Graph 4)

Under TAFFS, file folders are arranged to facilitate disposition. A procedure has been developed whereby files to be destroyed in the current files area are labeled in the first position (to the left). Files to be transferred from the current files area to the records holding area and subsequently to be destroyed there, are labeled in the second position (middle). Files to be transferred from the records holding area or direct from the current files area to the records center are labeled in the third position. Thus labeling also denotes what is to happen to the files -- files disposition is tied to files arrangement.

File guides are labeled in the first position only.

This method of labeling forces the separation of papers into temporary and permanent categories at the time of filing. This makes disposition more automatic, easier and economical.

WHAT HAPPENS TO CONTROLS UNDER PRESENT ARMY FILES SYSTEMS WHEN TAFFS IS USED? (Vu-Graph 5)

1. Creation control of papers. TAFFS does not change this situation. The control of the creation of records is not affected by TAFFS to any appreciable extent.

2. Use of decimal file book. The Department of the Army Decimal Classification Scheme is eliminated under TAFFS and the book which prescribes it is rescinded. This is a forward step, not only because the decimal system is outdated, but also because it takes files personnel with extensive experience to operate the decimal system. Today, personnel is not as stable as it was several decades ago. We no longer can expect to keep file clerks in fixed positions very much longer than a few years. We need a new system that can be learned easily and applied easily. TAFFS, we hope, answers that need.

3. List of decimal numbers. To avoid using all numbers in the decimal book, we prescribed for a number of years, that each files supervisor would develop a list of pertinent numbers for everyday use in the file room. This list will no longer be needed. In lieu thereof, a list of paragraph numbers by Army regulation will be the everyday tool of the file clerk.

4. AR 345-200 series. These will now, under TAFFS, be used not only for files disposition, but also for files arrangement.

5. Records control schedules (Vu-Graph 6). These, in the Army Records Administration Program, are a basic records control device. Every element of the Army, from the Office of the Secretary of the Army down through the headquarters of an Army division, is required to have and keep up-to-date an inventory of all its files -- a records control schedule. In 1943, and for many years thereafter, schedules were essential. From them, and other sources, we developed the data to incorporate in our Army regulations. They provided our operating people with specific information on cut-off, destruction, transfer, and retirement of files. However, now we have almost comprehensive coverage for the files of the Army Field Commands and we hope soon to have similar coverage for files of Headquarters, Department of the Army. We no longer need the schedules, since the Army regulations have the information. Also, the label under TAFFS will contain all the essential data, now in the schedules. The file number refers also to the disposition authority (which is now contained in column e of the records control schedule); i.e., the paragraph in the Army regulation which sets the disposition standard. The file title gives enough information to identify the file functionally,

replacing column b of the records control schedule. The retention period stated on the label takes care of the disposition instructions provided in column d of the records control schedule. Thus the most important information in the schedule is contained on the label, under TAFFS.

6. Training. Training in files operations and records disposal operations is greatly simplified under TAFFS. We teach one system instead of two unrelated systems.

7. Files planning. In the Army, we require a written files plan for every Army organization and activity, which prescribes the proper organizational location of files. Since TAFFS means either functional or physical decentralization of all files, it will facilitate files planning and also promote one of the basic objectives of files planning: elimination or reduction of duplicate files.

8. Written directives. Fewer and more simple directives will be needed for procedural purposes. The decimal book will need no revision or change. However, the Army regulations will need more detail.

EXPECTED RESULTS (Vu-Graph 7)

1. Integrated filing and disposition procedures -- one system to serve the purposes of two existing systems.

2. Replaces the decimal file system and other filing systems now used. Eliminates the War Department or Department of the Army Decimal Classification Scheme, which is obsolete, and other systems.

3. Eliminates the use of the records control schedules. This is one of the biggest features -- the schedules are replaced by standard labeling. This will save the time of records management officials.

4. Requires the segregation of temporary and permanent papers at time of filing. TAFFS forces the identification of papers in terms of the Army regulations. Thus papers with identical disposition standards are placed together in a folder. This means that screening is eliminated -- one of the most expensive file procedures.

5. Simplifies the disposition of files. Disposition instructions are on each folder, guide, drawer, or cabinet. There is no need to match the records control schedule, or "inventory," with the files.

6. Simplifies training.

SAVINGS ANTICIPATED

The USAREUR experiment indicated savings or benefits in terms of hours of work eliminated to amount to about $300,000 per year. USAREUR holds 1/10th of Army files, or about 1/4 million linear feet of files. If TAFFS proves equally successful throughout the Department of the Army, then we should realize benefits or savings annually to the tune of $3,000,000.

PROBLEMS WE FACE WITH TAFFS
There are several "bugs" in TAFFS that we know of, and probably others that we stil are not aware of. One is the problem of initial conversion. Many of the present arrangement systems are subjective, they concern the specific subject, without regard to organizational and functional implications. Tanks is a subject, and a piece of paper on tanks would be filed there, regardless of whether it deals with planning the tactical use of tanks, or the procurement of tanks, or the production of tanks. Under TAFFS, we have the functional, and the organizational approach to files. You may file a piece of paper on tanks in many different functional files, depending on the functional relationships. It will take time to convert the mental atmosphere of file clerks from a subjective to a functional approach.

Secondly, our regulations will need additional detailed descriptions of files, whic now are only very generally covered. At Headquarters, Department of the Army, we are issuing a separate set of directives, because the functional significance of files at this level is radically different from the functional significance of similar subject files in the Army Field Commands.

Also, we are working on simplifying instructions on how to install TAFFS, which wil be meaningless to relatively inexperienced files personnel -- particularly our six-month and two-year privates and lower noncommissioned officer ranks.

SUMMARY AND CONCLUSIONS
We in the Adjutant General's Office have realized for a number of years that we needed to revamp our filing system and procedures.

We hope that TAFFS will prove to be an answer to our filing problem and, at the same time, that it will drastically cut costs and manpower requirements for paperwork operations.

We feel that by tying together filing and disposition procedures there will result in the Army the accomplishment of a basic objective of the Archivist of the United States and the Task Force on Paperwork Management of the Second Hoover Commission.

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A question and answer period ensued which indicated that there was a great deal of interest in Mr. Pomrenze's presentation.

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Mr. Clarke: Thank you very much, Messrs. Pomrenze, Whitt and Geiger, for coming over to the Department today. Judging by the number of questions raised, it is quite apparent that all of us are very interested in the Department of the Army's new file classification system. If there are no further questions, the meeting wil adjourn.

Adjourned: 3:30 P.M.

Minutes of USDA Records Management Council Meeting
Held on January 21, 1959, at 2:00 P. M.
Room 2-W

Present:

Evelyn R. Warfield	- ACPS	Van Milton	- FES
L. T. Milbourn	- AMS	Gardner Walker	- FHA
Gertrude Cunningham	- ARS	Howard Hayden	- FS
A. O. Dusenbury	- ARS	Charles G. Manley	- FS
Mildred O'Brien	- ARS	D. E. Taft	- FS
E. B. Bryan	- B&F	Mary Bryant	- Inf
M. L. Butler	- CEA	Zelma J. Hicks	- Inf
Philip C. Beach	- CSS	A. Lyree Phillips	- Lib
C. G. Christianson	- CSS	Peter J. Doyle	- OAM
H. C. Perry	- CSS	Larry Tornese	- OAM
H. Rawcliffe	- CSS	L. E. Roberts	- OGC
H. B. Westfall	- CSS	Margaret Schneider	- P&O
Oneta Bear	- FAS	Joseph K. Allison	- REA
Ruth Donovan	- FAS	Clayton J. Frasemer	- REA
Blanche M. Lauck	- FAS	Dorathea E. Wallner	- REA
Felton E. Robey	- FCA	E. S. Hatlestad	- SCS
Charles V. Trowbridge	- FCIC	Nuel Hurtick	- SCS

Miss Ruth Donovan, FAS, Vice-Chairman: Good afternoon, ladies and gentlemen. Welcome to the fourth meeting of the Records Management Council, 1958-1959 season. This is a new type of meeting; after our speaker has made his presentation, members of the Council will form four seminar-type discussion groups, to examine and comment on problems arising in paperwork management.

Now, I would like to introduce Mr. John Blacken of the Office of Administrative Management, who will explain to us the recent Depository move.

Mr. Blacken, OAM: My purpose in making this report is two-fold: first, it is to describe the recent relocation of records in the Sixth-Wing Records Depository; second, it is to try to promote more accurate reporting by the agencies concerning their use of the Depository.

As you know, OAM is responsible for assigning space and keeping an over-all record of the disposition of drawer space in the Depository. We believe that one advantage of having a central point, such as OAM, for maintaining over-all space assignment lists is that maximum flexibility is thereby achieved. Space needs of the agencies vary. An agency that needs 400 or 500 drawers for storing records today might only need half as many six months or a year from now, or vice versa. Also, when one agency is expanding its space holdings, another will be needing less space. We have felt that retaining such flexibility is more desirable than would be the practice of assigning each agency a certain set number of drawers in a block.

However, administering the Depository from a central point also has a disadvantage. Our space records can only be accurate if agencies contact us when they move materials into or out of the Depository.

The recent curtailment of space and relocation of records in the Depository underlined the fact that agencies have been careless in their reporting procedures.

Let me go back and describe what happened. In October, OAM was asked to release the floor space occupied by rows 36-53 and 100-120. Air-conditioning equipment is being installed in this area. In addition, we gave up rows 1-14 to P&O. Of a total of 133 rows in the Depository, we released 54 rows. At the time the Depository was operating at about 50% of capacity. Full capacity at that time was about 8470 drawers.

The job facing us was merely to find empty drawer space in the so-called "non-critical" rows and transfer the contents of all drawers in the critical areas to the empty drawers. I proceeded to draw up plans to do this, basing the plans on our record books.

Then I went over to the Depository and found that my nice lists, which looked so good on paper, bore no relation to reality. Some drawers which were supposedly occupied were empty and some which were listed in our books as being unassigned had records in them. At this point, the natural question is: "How did it happen?". Well, I have since learned that what occurred was something like this: An agency would request a certain amount of space and then when the records were moved in it would be found that two or three more drawers would be needed. The natural temptation was to use the next drawers in line if they happened to be empty. Or, if the materials did not fill up all the drawers requested, empty drawers would remain. Either situation is all right -- if OAM is informed so that our over-all space assignment records can be changed to reflect the use of the extra drawers or less drawers, as the case may be. Unfortunately, in the past agency people have neglected to let us know.

Since OAM had not been adequately informed of the movement of records into or out of the Depository, we had to make a drawer-by-drawer inventory of every row. Whenever we found supposedly empty drawers occupied, we examined the contents to try to determine to which agency they belonged.

After completing the inventory, we again went through the process of assigning new drawer space for all material that had to be moved. Wherever possible, we tried to group each agency's records together. To identify the drawers to be moved, tags were prepared and attached to each drawer. These tags indicated the row and drawer from which the records were being moved, the agency to whom the records belonged, and the row and drawer number to which they were being moved. The tags remained with the records while they were being relocated and were attached to the new drawers. I believe that this method of identification has reduced to a minimum the chances for a mix-up or loss of records.

We had four GSA laborers to help do the actual moving of records. Some agencies supplied help in the form of supervision and labor. Some agency people helped by attaching tags to drawers. The physical relocation of records took most of two weeks, during which 1580 occupied drawers were moved. After we had finished, OAM sent out memorandums to inform agency people of the new locations of their records and to request that OAM-3's be prepared for the new space assignments.

The Depository now has a full capacity of 3451 letter-size and 1606 legal-size drawers. Of these, 828 letter-size and 643 legal-size drawers are empty. This means that the Depository is operating at 76% of capacity in regard to letter-size drawers and 61% in regard to legal-size. These empty drawers do not constitute solid blocks of transfer cases; instead, the empty drawers are scattered "here and there" throughout the Depository.

The restricted space in the Depository, coupled with the fact that most of the empty drawers are scattered in small groups, makes it doubly important that we be able to keep accurate records of the location of all materials in the Depository. We request that the agencies be careful to clear through OAM whenever they move materials into or out of the Depository. Only if we are kept informed of every movement can we keep accurate records of the space situation in the Depository. And only if we are able to keep accurate records can the full value of the Depository as a service to the Department be realized. As a start, we would appreciate it if those agencies which have not yet submitted revised OAM-3's in response to our memorandum would do so as soon as possible.

In conclusion, I would like to thank all of you who gave a hand in one way or another to help with the moving of records in the Depository.

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After Mr. Blacken's speech, the Council divided into four groups to discuss various aspects of paperwork management. At the next meeting, each of the four group leaders will present a brief resumé of the discussion in his particular group.

Meeting adjourned: 3:15 P.M.

Minutes of USDA Records Management Council Meeting
Held on May 28, 1959, at 12:00 Noon
Room 6962-S

Present:

Joseph Weeks	- ACPS	Allison G. Allen	- FHA
R. H. Lando	- AMS	Wanda Grafton	- FHA
LeRoy Milbourn	- AMS	Gardner Walker	- FHA
A. O. Dusenbury	- ARS	Bill Clarke	- FS
Mildred K. O'Brien	- ARS	Mary G. Bryant	- Inf
E. C. Roth	- ARS	Zelma Hicks	- Inf
Paul C. Wirth	- ARS	A. Lyree Phillips	- Lib
E. B. Bryan	- B&F	J. D. Blacken	- OAM
J. Keaney	- B&F	P. J. Doyle	- OAM
D. M. Perkins	- B&F	J. P. Loftus	- OAM
Mary Lee Butler	- CEA	J. H. Merritt	- OAM
Doris E. Wood	- CEA	Virginia Thatcher	- OAM
C. G. Christianson	- CSS	I. A. Tornese	- OAM
Oneta Bear	- FAS	William W. Brown	- Pers
Ruth Donovan	- FAS	Kathleen M. Ritter	- P&O
Margaret A. Ennen	- FCIC	Margaret Schneider	- P&O
John Smiroldo	- FCS	J. K. Allison	- REA
Harold D. Walker	- FCS	Virginia Wolfersberger	- REA
Van Milton	- FES	C. S. Hatlestad	- SCS

Mr. William Clarke, Chairman, opened the meeting and welcomed the guests. There ensued an election of officers and Steering Committee members, with the following results:

Ruth Donovan (FAS), Chairman
Allison G. Allen (FHA), Vice-Chairman

Members of the Steering Committee

Joseph K. Allison (REA)
Zelma Hicks (Inf)
Van O. Milton (FES)
Val Trowbridge (FCIC)

Mr. Loftus was called upon by the Chairman to appoint a member of the OAM staff to serve as Department representative on the Steering Committee. He appointed Mr. Peter J. Doyle. Mr. Clarke then explained the FS filing system as follows:

"The Forest Service filing system we are currently using was developed in 1908, and is a subject system plus key letters which associate it with organizational divisions. It provides for the full preclassification of correspondence by the dictating officer, and began to be out-moded when the emergency programs of the 1930's greatly increased activities and personnel.

"In 1943, a study committee considered a switch to the subject-numeric system, but wartime pressures kept a change from being made, although the existing system was recognized as being unsatisfactory.

"When a management study was made by the McKinsey Company in 1956, one of the recommendations they made was that all paperwork, such as records, reports, work plans and financing, be correlated with a new manual or issuance system. Their recommendation for a manual-coordinated file system was believed to be feasible, and the work of building was begun in June of 1957.

"The new manual-coordinated file system is made up of three parts; an Authors Guide, Filing Plan and the usual Relative Index. The system uses the same four-digit numbers and chapter names for primary subjects that are used in the manual. For example, 6100 Personnel is identical in both, as is 6110 Employment. The manual section and paragraph numbers are subject to revision quite often and after study a decision was reached to stop the coordination at the so-called '100' or '10' level. This would provide for filing correspondence in the same general numeric subject areas without requiring the revision which a closer correlation by sub-numbers might require. Contacts with others in records management work, who had considered such a manual-file correlation for their agencies, indicated, too, that closer correlation was unworkable in an organization with four administrative levels.

"A second problem in our organization was to provide simple and adequate routing of mail in larger offices. The character of the manual, which divided material into subject areas that often coincided with divisional areas, was taken advantage of as far as possible. For other subject areas of general application, such as inspections, laws, reports, plans, programs, etc., a routing guide was developed which appears on correspondence as a four-digit number. For example, as shown here, a 'Report' would be coded 1380, and to send it to the Division of Personnel the personnel file number (6100) would be typed after 1380. Since all 'Personnel' instructions are in the 6100 title of the manual, the use of the '100' numbers for routing has been readily accepted. The routing number, where needed, and the hundred or ten number is put on correspondence by the author or his secretary when it is prepared. The subject wording on in-service correspondence is also a part of this preclassification. Detail numbers for further breakdown are put on the file copies only by the file clerk in ink just before material is filed.

"Over 90% of our records are in the field, so a large part of the developmental work of the filing plan was done at field locations. When the plan was roughed-out, we asked for and received expert assistance and guidance from Mr. Loftus' Office. Mrs. Virginia Thatcher, who is our liaison, spent several weeks on the plan, both here and in the field, and her work was invaluable to us.

"Training sessions were held for all of our records officers at regional and experiment station levels, and the trainees have since had sessions for the forest, district and center levels.

"The new plan goes into effect in about a thousand offices on July 1, and initial reaction to it is very favorable. Classes will be held separately here for officials who originate correspondence, and emphasis on the Authors Guide illustrated on the board is planned for them. Separate sessions are being held for secretaries, file clerks and others who need to know more of the detail given in the Filing Plan and the Relative Index.

"We plan to tie-in a new disposition schedule as a part of the file system later on.

"During the training sessions in the east and the west, Mrs. Thatcher carried at least half of the ball, so if there are any questions on the subject, she will be delighted to answer them.

"I have appreciated very much being your chairman this year. It has been a pleasure working with you people. Ruth, I hope you have a successful year.

"If there are no further questions, the meeting stands adjourned."

Adjourned: 1:30 P.M.

Minutes of USDA Records Management Council Meeting
Held on October 14, 1959, at 2:00 P.M.
Room 124-E

Present:

Joseph Weeks	- ACPS	Gordon Sproles	- FHA
Stan Dorick	- AMS	Gardner Walker	- FHA
R. W. Everett, Jr.	- AMS	Bill Clarke	- FS
W. Hillenbrand	- AMS	Howard Hayden	- FS
R. H. Lando	- AMS	Charles G. Manley	- FS
L. T. Milbourn	- AMS	D. E. Taft	- FS
L. K. Wright	- AMS	Zelma J. Hicks	- Inf
W. W. Brown	- ARS	A. Lyree Phillips	- Lib
A. O. Dusenbury	- ARS	W. J. Benoit	- OAM
E. C. Roth	- ARS	John D. Blacken	- OAM
Paul C. Wirth	- ARS	P. J. Doyle	- OAM
M. L. Butler	- CEA	J. P. Loftus	- OAM
Helene J. Bullen	- CSS	V. W. Thatcher	- OAM
C. G. Christianson	- CSS	Larry Tornese	- OAM
Harry C. Perry	- CSS	C. E. Wylie	- OAM
Orabelle M. Wild	- CSS	L. E. Roberts	- OGC
Ruth Donovan	- FAS	Fred P. Herzer	- OGC
Charles V. Trowbridge	- FCIC	W. T. Templeman	- REA
John Smiroldo	- FCS	Dorathea E. Wallner	- REA
H. D. Walker	- FCS	E. S. Hatlestad	- SCS
P. R. Crutchfield	- FHA	Nuel Hurtick	- SCS
Wanda Grafton	- FHA		

The new Chairman of the Council, Ruth Donovan (FAS), opened the first meeting of the season with thanks to the outgoing Chairman, Bill Clarke (FS). She then asked members to introduce any new members or guests. Mr. Loftus (OAM) introduced a new member of his staff, Bill Benoit, and Mrs. Thatcher (OAM) called attention to the presence of Messrs. Dorick and Wright (AMS).

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<u>Miss Donovan (FAS)</u>: We all know our guest speaker, Mr. Loftus, Director of the Office of Administrative Management. He is going to tell us about accomplishments in records management during the past year and discuss plans for the coming year.

<u>Mr. Loftus (OAM)</u>: On other occasions when I have spoken to the Council I had prepared remarks. However, today while I have no prepared remarks, I have had suggestions from members of the staff as to some things I might mention.

I think I might lead into the subject by commenting on Government-wide trends. At the recent Budget Bureau hearings, the examiners have asked each agency what management improvements have been effected during the past year. The examiners asked for a special hearing for the Office of the Secretary of Agriculture, regarding management improvement in staff offices. Ralph Roberts talked about the Management

Improvement Committee. I talked about the Office of Administrative Management and its accomplishments. For this kind of testimony you have to have some evidence of accomplishments or you are lost.

For instance, during the year some of our energy went into the study of problems in the Library resulting in Secretary's Memorandum No.1428. Other endeavors resulted in OAM Memorandums and Administrative Regulations. In the records management field we should be thinking in the same way. We should document activities and results. We must be able to bring forward something concrete. In this we can see implications for records officers. One example would be Automatic Data Processing. As yet I have not heard of problems in the records field developing from ADP. What are agencies doing about this? There must be many records, cards, and so forth, connected with the operation of computers. For instance, the Pentagon had a fire and their tapes went up in smoke.

We are calling for management improvement reports twice a year, so the Department can be currently informed as to what is going on in the agencies. We use these reports for information the Davis Subcommittee wants on manpower utilization. A separate report can be avoided through use of the management improvement reports.

Mr. Walker (FCS): At the hearings, we were asked how we were organized to develop management improvement reports.

Mr. Loftus: Do you develop the reports yourself, or do you get your divisions to give you the information?

Mr. Walker: I get the information from our divisions. What should go into these reports? What is important to us may not be important to other agencies.

Mr. Loftus: Secretary's Memorandum 1424 provides that if something is an advancement for you, you should report it.

Discussion of Charts

Records holdings for 1959 were down from 913,449 cu. ft. to 902,912 cu. ft. This is a decrease of 10,537 cu. ft. Where are these records? Eighty-six percent of them are in the field. Fourteen percent are in Washington. This means that records officers have to reach the field.

Which agencies represent big records operations? CSS is 48% of the Department in the records field. FS is next - the second largest agency in terms of records activity. AMS is third.

In order to reach the 86% of records in the field, agencies should have disposition schedules tailor-made for the field - different schedules for different types of offices. I don't allege that it is easy, but it is an approach. It should be easiest for agencies whose field offices are more or less alike - FHA for example. ARS and AMS have a different kind of problem.

We have been able to increase our records disposition. During 1959, the Department accumulated a certain amount of records. However, we disposed of more than we created. This is net gain. The Administrative Assistant Secretary said he wanted a summary report, so I wrote him a memorandum saying:

U.S.D.A. records holdings	-- down	1.2%
U.S.D.A. records disposition	-- up	11.9%
U.S.D.A. records accumulated	-- down	11.5%

Difference between Washington and the field --

Records accumulated	-- Washington	-- down	39.0%
"	-- Field	-- "	8.5%
Records disposition	-- Washington	-- up	36.2%
" "	-- Field	-- up	7.8%
Records holdings	-- Washington	-- down	10.4%
" "	-- Field	-- up	.5%

How can we reach the field effectively with records guidance and management? The Federal Records Centers are there, and we can have records transferred to the Centers. The volume of records transferred to Centers from field offices went up 74%. For the Department as a whole, the volume transferred was up 62.5% over the fiscal year 1958. Apparently the Federal Records Centers are getting recognition. Most of the records are in the field and that is where our problem is.

The memorandum we sent to your Assistant Administrators for Management regarding records holdings was an attempt to help records officers get the attention of top management. We invite their attention to the cubic feet of records per person in the agency, the percentage figure on rate of disposition, etc. This invites discussion with the agency records officer. In this way, we are more likely to get support from top management and consideration of year-to-year progress.

Thirteen agencies reduced volume of records per person. Seventeen improved on rate of records disposal. Eleven improved on transfers of material to Federal Records Centers.

I was dubious as to whether a staff office should issue a chart like this one, on "Records Holdings Percentage of Change - Fiscal year 1959 Compared with Fiscal Year 1958," because it looks as though we are contrasting one agency with another. OAM leads the list, and we have less records than any agency in the Department. The Office of Information in the past has not included films and this year they did. "Adjustment of data for comparability" would change the picture. This really shows the rate of activity, increase or decrease. It tells what is going on in each agency. In Administrative Management Memorandum No. 4, we said "Comparison between agencies is not suggested, since program developments or other factors must be recognized." The chart also indicates whether or not an agency is making progress in dealing with disposal of records.

The chart on "Records Disposal Percentage of Change - Fiscal Year 1959 Compared with Fiscal Year 1958," needs qualification. Here again, "comparison between agencies is less significant than the year-to-year comparison for each agency." In the Department as a whole we had a disposal rate of 14.3%.

Mr. Wright (AMS): The memorandum to Henry Herrell caused a good deal of comment - "Is this good or is it bad?" I do think the memorandum is good, but I think there should be a little more explanation.

Mr. Loftus: After Ralph Roberts received my memorandum we had a request from the Secretary for similar information. He apparently had come from a Cabinet meeting in which Departments were asked to stem the tide of paperwork. After seeing our Administrative Management Memorandum No. 2 which dealt with disposition of non-record material, he wanted to know if they came to his office. He also wanted them marked for his personal attention. He wanted examples of our work and I assembled some.

In the development of Administrative Management Memorandum No. 2, Larry Tornese met with agency people and they encouraged him to go ahead. The Labor Department requested the stencil so they could give copies to their employees, and we have complied.

Mr. Trowbridge (FCIC): Are you going to start records surveys in State Offices again? We could use the reports as a stick to see that records were disposed of. These surveys being instigated again would help a lot as far as our field offices go.

Mr. Loftus: This is not in prospect. What is in prospect is conduct of agency surveys. Is FCIC ready for a paperwork survey? Last year, we went into REA, OGC, SCS, etc. That is the approach we are going to try to work on. We will go in when you can best accommodate yourself to this kind of survey.

Let me remind you again of the records disposition workshop Mrs. Thatcher introduced. The objective was that you pick it up and familiarize your people with records disposition.

Our analysts are working on OPO #9 and OPO #10. We are going to try, between surveys, to bring them up to date.

You will note our Office memorandums have changed their designations. Mr. Wylie wants to standardize them as Administrative Management Memorandums No. 1, 2, 3, etc. You may expect staff office memorandums to be more uniform in the future.

OAM Advisory Memorandum No. 23 informed Department agencies of the "Storaform" box designed by Mr. Doyle. To date, 2100 have been issued and more have been ordered.

OAM Advisory Memorandum No. 20 announced the promulgation and availability of Form AD-310, designed to facilitate inventory of records. At present, 1375 have been requisitioned.

OAM Advisory Memorandum No. 18 advised agencies of activity in the Records Depository which reduced drawer space to 61 percent of capacity in regard to legal-size drawers and 76 percent in regard to letter-size drawers.

Every year there has been trouble with our records holdings reports. OAM Action Memorandum No. 13 instructed agencies on how to fill out their SF-136's.

Are these memorandums useful to you? We would like to know. I had a call from Vic Roy, FHA, with respect to Administrative Management Memorandum No. 1.

The thing that alarms me about the field is this -- we say 86% of our records are in the field.

No. field offices		
SCS	-	3100
FHA	-	1600
ARS	-	1200
AMS	-	500
FS	-	1000
FCIC	-	800
CSS	-	3000
		11,200

We must bear down on field offices so the people are sharp on records management and disposition.

Mr. Walker (FCS): Are inspections part of internal audit activities?

Mr. Loftus: We have issued a checklist for internal auditors which B&F sent to agency internal auditors. Presumably they are following the checklist and are doing something about records in the field. You should make as much use of the internal auditors as possible, but I don't think they can do everything they may be asked to do.

Mr. Hurtick (SCS): The internal audit program is a success in SCS.

Mr. Loftus: How did the last SCS survey contrast with the other type?

Mr. Hurtick: We liked the old type much better. They were more of a help because of their frequency.

Mr. Trowbridge (FCIC): How do you arrive at the volume of records per employee? The figure for my agency is large, if not the largest. I feel it is an unrealistic figure.

Mr. Loftus: I would say it is "characteristic." That is why I would discourage comparisons.

Miss Donovan: Thank you, Mr. Loftus. If there is no further business, the meeting is adjourned.

Minutes of USDA Records Management Council Meeting
Held on December 16, 1959, at 2:00 P. M.
Room 509-A

Present:

William Hillenbrand	- AMS	Mary Bryant	- Inf
R. H. Lando	- AMS	Zelma J. Hicks	- Inf
L. T. Milbourn	- AMS	John D. Blacken	- OAM
Doris E. Wood	- CEA	P. J. Doyle	- OAM
Oneta Bear	- FAS	V. W. Thatcher	- OAM
Ruth Donovan	- FAS	C. E. Wylie	- OAM
Charles V. Trowbridge	- FCIC	L. E. Roberts	- OGC
Van Milton	- FES	Joseph K. Allison	- REA
Nick Allen	- FHA	Clayton J. Frasemer	- REA
P. R. Crutchfield	- FHA	E. S. Hatlestad	- SCS
Don Taft	- FS		

The group selected a series of topics which will be discussed at future meetings of the Council. Miss Donovan, Chairman, appointed a chairman for each topic. Each chairman will appoint two or three members to his committee in order to develop the topic and to describe problems and, if possible, suggest solutions. Each committee chairman is free to call on specialists for assistance in the field of the topic being considered.

Any records analyst wishing to join a particular discussion should get in touch with the chairman for that discussion topic. The topics and topic chairmen are listed below:

Personnel Management Records	Nick Allen (FHA), Ext. 4103
Property and Procurement Management Records	Bill Clarke (FS), Ext. 6603 or Don Taft (FS), Ext. 6603
Public Transportation Records	Carl Christianson (CSS), Ext. 6173
Agency Internal Audit Records	Robert H. Lando (AMS), Ext. 3910
Commercial Publications, Magazines, Trade Publications, etc.	A. Lyree Phillips (Lib), Ext. 5940
On-site Audit Records	Nick Allen (FHA), Ext. 4103
Difficulties Experienced by Agencies Having Records at Alexandria, La., and How They are Meeting the Problem of Replacing Those Records Which were Destroyed by Fire	Nuel Hurtick (SCS), Ext. 5372 (It was suggested the committee members consist of representatives from the agencies having records there.)
Statistical Records	LeRoy T. Milbourn (AMS), Ext. 6040
Removal of Restrictions on Budget and Fiscal Records	Val Trowbridge (FCIC), Ext. 5221

Exploring Methods of Replying to Inquiries Without Writing	Don Taft (FS), Ext. 6603
Feasibility of Preparing Department-wide or Agency-wide Subject Manuals Covering Both Administrative and Program Operational Subjects	Bill Hillenbrand, Chairman (AMS), Ext. 3910; Zelma Hicks (Inf), Ext. 6776; Pete Doyle (OAM), Ext. 3535

Topic chairmen may call upon any agency records officer or his staff members in order to get help in developing topics. A list of agency records officers follows:

Name	Ext.	Name	Ext.
Joseph Weeks (ACPS)	3611	G. P. Walker (FHA)	4103
R. W. Everett (AMS)	2102	W. F. Clarke (FS)	6603
P. C. Wirth (ARS)	4787	Zelma J. Hicks (Inf)	6776
E. B. Bryan (B&F)	2727	B. L. Oliveri (Lib)	3961
D. E. Wood (CEA)	4450	P. J. Doyle (OAM)	3535
J. L. Talbert (CSS)	6173	F. P. Herzer (OGC)	2690
Ruth Donovan (FAS)	5094	Margaret Sullivan (Pers)	5206
C. V. Trowbridge (FCIC)	5221	J. H. Austin (P&O)	3337
H. D. Walker (FCS)	3670	J. K. Allison (REA)	3583
V. O. Milton (FES)	6850	Nuel Hurtick (SCS)	5372

Minutes of USDA Records Management Council Meeting
Held on January 20, 1960, 2:00 P. M.
Room 509-A

Present:

E. O. Alldredge	- GSA	A. G. Allen	- FHA
Joseph Brandt	- AMS	P. R. Crutchfield	- FHA
Jack L. Flowers	- AMS	Gordon Sproles	- FHA
W. Hillenbrand	- AMS	C. H. Van Natta	- FHA
R. H. Lando	- AMS	Gardner Walker	- FHA
L. T. Milbourn	- AMS	Howard Hayden	- FS
Martin K. Schaller	- AMS	C. E. Manley	- FS
Gertrude Cunningham	- ARS	Mary G. Bryant	- Inf
John A. Merna	- ARS	Zelma J. Hicks	- Inf
E. C. Roth	- ARS	Galen Yates	- Inf
Ed Wright	- ARS	A. Lyree Phillips	- Lib
Mary Lee Butler	- CEA	W. J. Benoit	- OAM
Doris E. Wood	- CEA	Virginia Thatcher	- OAM
P. C. Beach	- CSS	Larry Tornese	- OAM
Sara Cohran	- CSS	C. E. Wylie	- OAM
H. C. Perry	- CSS	L. E. Roberts	- OGC
H. Rawcliffe	- CSS	Margaret Schneider	- P&O
J. L. Talbert	- CSS	Margaret Sullivan	- Pers
H. B. Westfall	- CSS	Joseph K. Allison	- REA
Ruth Donovan	- FAS	C. J. Frasemer	- REA
Felton E. Robey	- FCA	John F. Maguire, Jr.	- REA
C. V. Trowbridge	- FCIC	Thomas L. View, Jr.	- REA
John Smiroldo	- FCS	Virginia P. Wolfersberger	- REA
Harold D. Walker	- FCS	E. S. Hatlestad	- SCS
Frank B. Kimball	- FES	Nuel Hurtick	- SCS
Van Milton	- FES		

The Chairman, Ruth Donovan (FAS), opened the meeting by greeting members of the Council and asking them to introduce any guests who might be present.

Mr. E. C. Roth (ARS) introduced John Merna and Ed Wright -- Mr. Lando (AMS) introduced Jack Flowers -- Mr. Gardner Walker (FHA) introduced Mr. Van Natta.

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Miss Donovan: Our program topic today is "The Duties and Responsibilities of a Records Officer." Our speaker has a wide acquaintance and needs no introduction. He has spoken to us on many occasions. It is a pleasure to welcome you, Dr. Alldredge.

Mr. Alldredge: Thank you, Miss Donovan. The biggest trouble we have in speaking on this subject is defining our terms. So long as we in the Government can not agree what the concept "records management" means, we can not expect agreement on what the duties of a records management officer should be.

In the National Archives and Records Service we are committed to whatever definitior of records management our legal counsel finds inherent in the Federal Records Act of 1950. That statute speaks in terms of records creation, records organization, maintenance, and use, along with records disposition. This gives the lawyers more terms to define.

Using GSA definitions, a records management officer has a solid 100 duties. This breaks the duties down pretty fine, but each still remains distinct and discrete. In our Records Disposition Workshop, for example, we build a bank of four filing cabinets, five-drawers each, and on each drawer we give the briefest statement of a records management officer's different disposition duties - 20 in all. To run through 40 creation duties, and 40 maintenance duties, and so complete the 100, would be no address. Instead, it would be a dull cataloging, or check listing.

Another way of summarizing our responsibilities could be to break them down into five basic kinds of work:

1. Assistance, finding ways for others to do the paperwork part of their jobs better. For the majority of Federal employees, paperwork takes up the majority of their time.

2. Control, or the extent to which we are a special part of management's control function. We may not like the word "control," but we develop and administer records control schedules.

3. Service, or the extent to which we exist to perform centralized staff work which relieves other elements from doing such work themselves.

4. Stimulation, promotional work designed to motivate elements of the organization to engage in activities to improve agency management.

5. Standards, setting up models by which quality, value, performance, and service in the paperwork areas may be gauged.

Still another way of looking at our duties is to ask, "what ones are we discharging poorly?" This might be the most fruitful approach for us to take this afternoon.

How do the practices and techniques of the less well-paid records management specialists vary from those of the well-paid management analyst generalists? The time spent in such work for the generalists can be guessed from the recent Bureau of the Budget report on management analysis. The records management time figures are my estimate.

Practice	MA Generalist	RM Specialist
Management Studies (Surveys)	35%	20%
Management Advice	15%	5%
Functional Supervision	10%	15%
Management Promotion	15%	10%
Organization Control	5%	0
ADP Planning	5%	0
Work Measurement	5%	0
Standards	5%	20%
Operations	5%	30%

If this estimate of mine is right, I think it shows where the records management specialists are failing most often. Too frequently we are:

(a) making too few surveys,
(b) being called upon too infrequently for advice,
(c) engaging too much in operations,
(d) fighting symptoms instead of the disease.

The argument I hear against making surveys is that they tie up too much manpower for too long. This argument impresses me not at all. After all, one has some degree of selectivity in accepting study assignments. Further, surveys are usually initiated by topside staff or line elements. The reports go to the initiator and give him a good picture of the kind of work a survey group can do. It is usually possible to conduct them in collaboration with the units concerned so that the written reports become accounts of actions already placed in effect or in process, or on agreements reached.

Getting called in to give management advice is admittedly tricky. It is an outgrowth of results achieved, the resulting reputation, and it proceeds para passu with the blossoming of that reputation. It comes to fruition slowly. Reputations don't blossom unless our superiors know of the good work we are doing. It isn't immodest to keep our boss's boss apprised of our accomplishments. Too often we don't get the word passed <u>up</u> the line.

One principal conclusion of the Bureau of the Budget's recent study, it seems to me, is that a heavy workload in operating-type activities tends to subordinate the primary function of a management analyst unit and to constrain the development of the unit to its full potential as a staff arm to management on general management problems.

Several factors contribute to this tendency. The day-to-day workload of operating responsibilities, coupled with the customary small size of management analyst units, absorbs much of the available staff time. While such activity brings the units into regular, satisfying contact with agency operations, the contacts are usually transactional in character and are inappropriate as a proper entry into more generalized management questions. Noteworthy exceptions on individual matters can be cited, but staffs whose working relationships are geared extensively to operating activities tend to stay within or close to the confines of those activities. Such activities only rarely demonstrate to top management and program officials the ability of the staff to treat broader or higher paperwork problems, if indeed they are even recognized as paperwork problems.

What can I say about our fighting the symptom instead of the disease? The form and guide letters workshop was fighting the disease; the correspondence preparation manual usually fights the symptom. The mail management workshop fights the disease. The design of a route slip fights the symptom. The records disposition workshop fights the diseases of screening and too many permanent records. Yet, most records management officers have avoided taking these workshops under their wings and mothering them along.

Talking about a records management officer's duties leads inevitably to a brief look at the qualifications desirable or essential for a mature specialist. I find seven most commonly suggested:

1. college education
2. management knowledge
3. analytical experience
4. records operating experience
5. analytical ability
6. writing and speaking ability
7. social skills

So long as only 20% of the records management officers around Washington have their A.B. degrees, while over 50% of the other types of management analysts have such degrees, I suppose we can not contend the college degree to be essential. Yet, a group with as few college-trained persons in it as are in records work is in for grade allocation troubles.

Too few of us records management people write well - or speak well. If I did not know so many of you personally, and if you had not told me of your writing deficiencies, I would not be so sure of this. And yet, when we in NARS came around with the plain writing course, why did so many of you turn the other way?

Too few of us records management people have the requisite social skills. Line operators have to be persuaded day-to-day that management analysts don't have horns and tails. Developing collaborative working relationships is often our major task - not theoretical knowledge or practical application.

What is immediately ahead in the job classification field which will affect our duties?

Of course we won't know how the Civil Service Commission feels about the management analyst series until some new proposed specifications are released for agency comment this Spring. Is it Drew Pearson who pulls himself up to his full height and says fearlessly, "I predict. . ."?

Well, we can all predict at least two things.

In the first place, the number of people now classified in the series will be reduced. The 7,700 persons presently categorized as management analysts will be cut back. I have the feeling this will be done by redefining what management analysis is, insofar as those engaged in paperwork management are concerned, so that persons below the journeyman grade will have to make special justification to prove they are engaged in:

a. Providing advice and conducting studies concerning the organization and management of the paperwork control effort.

b. Developing or conducting programs aimed at stimulating management improvement actions throughout an agency, or a considerable segment of it.

c. Performing the developmental or subsequent installation work to apply those specialized paperwork management tools or techniques which are determined by agency management to be necessary or desirable parts of the management analysis program of the agency.

In the second place, we can predict that the paperwork management cluster -- forms, reports, directives, correspondence, mail and files system, records disposition -- is too closely allied in its problem-solving techniques and too intertwined and dovetailed in its common procedural streamlining practices to be separated. The entire cluster stays in the management analyst series or the entire cluster gets a new classification home. I think the Civil Service Commission, on this score, found out in 1956, once and for all, that these beads are unmanageable except as they are strung on the same string.

Miss Donovan: Thank you very much, Dr. Alldredge. You have given us some standards by which we can evaluate our own performance.

If there is no further business, the meeting is adjourned.

Adjourned: 3:35 P.M.

Minutes of USDA Records Management Council Meeting
Held on April 13, 1960, at 2:00 P.M.
Room 124-E

Present:

James H. Hopkins	- AMS	Allison G. Allen	- FHA
Leonard E. Vaughan	- AMS	Gordon Sproles	- FHA
William W. Brown	- ARS	Gardner Walker	- FHA
G. M. Cunningham	- ARS	Don Taft	- FS
Mildred K. O'Brien	- ARS	A. Lyree Phillips	- Lib
E. C. Roth	- ARS	Pete Doyle	- OAM
Paul C. Wirth	- ARS	Virginia Thatcher	- OAM
M. L. Butler	- CEA	Larry Tornese	- OAM
C. G. Christianson	- CSS	M. K. Randle	- OGC
H. Rawcliffe	- CSS	L. E. Roberts	- OGC
Oneta Bear	- FAS	James H. Austin	- P&O
Ruth Donovan	- FAS	Joseph K. Allison	- REA
Eleanor Schreier	- FAS	C. J. Frasemer	- REA
Harold D. Walker	- FCS	Dorathea E. Wallner	- REA

Ruth Donovan (FAS), Chairman, opened the meeting and asked if there were any announcements to be made, or guests to be introduced. Mrs. Thatcher (OAM) introduced Miss Randle, Personnel Officer of OGC, and Miss Donovan introduced Eleanor Schreier of the FAS Personnel Office.

An announcement was made that, as provided by the Council's by-laws, the annual election of officers would be held at the May meeting. The members of the nominating committee were named as follows:

Nuel Hurtick (SCS), Chairman
James H. Austin (P&O)
Carl Christianson (CSS)

The nominating committee will present a slate of officers, and members will have an opportunity to nominate candidates from the floor, for the positions of Chairman, Vice-Chairman, and members of the Steering Committee.

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<u>Miss Donovan (FAS), Chairman</u>: Today, we have two more topics for discussion -- one on Personnel Management Records by Gardner Walker, FHA; and the other on Exploring Methods of Replying to Inquiries Without Writing by Don Taft, FS.

<u>Mr. Walker (FHA)</u>: Occasionally there are questions in some of our minds as to who does what, and why, with personnel records. It is an area that, as records people, I think we need to explore more thoroughly. With that as an objective, I have a few comments I would like to make this afternoon; later we will have an open discussion period.

The Personnel Management records of Federal agencies fall within two broad groups, namely:

-- Those records for which the Civil Service Commission prescribes a basic personnel records and files system; and

-- Those personnel management records for which the Commission does not prescribe the files system.

Now, let us consider for a few minutes those personnel management records for which the Civil Service Commission prescribes the basic files system. These records and the files system are covered by Civil Service Handbook S-812. The maintenance of these records under this prescribed system is subject to inspection and audit by the Civil Service Commission.

The first thing we in records management may wonder about is why GSA wasn't in on this. Legislation for GSA had barely been passed when this was issued. The Federal Records Act was issued late in 1949.

This Handbook, S-812, was prepared jointly by the Federal Personnel Council, the Bureau of the Budget, representatives of several agencies and the Civil Service Commission.

Exceptions to the use of the system prescribed by Civil Service Handbook S-812 must be approved by the Bureau of the Budget and the Civil Service Commission.

The records and files which comprise the basic Personnel Records and Files System are:

1. The Service Control File (SF-7), (SF-7D),
2. The Chronological File of Notification of Personnel Action (SF-50),
3. The Position Description File, and
4. The Official Personnel Folder -- which, as you know, travels with the Federal employee as he moves from agency to agency.

The records and files system prescribed in Handbook S-812 is adaptable to any Federal personnel office and is designed to fit into any type of personnel program. Even though differences in policy and techniques exist between offices, the processing, record-keeping and reporting requirements of all offices are so nearly alike that a standard system for the Federal Government is desirable and workable.

It is significant that this System requires the maintenance of only one basic set of records; also that these records should be maintained at the level where personnel actions are effected.

There is one more point I believe worth mentioning, in a quick review of personnel management records such as this, and that is -- the Civil Service required system specifically states that duplication of these records at intermediate levels of operation is not only unnecessary, but negates to a great extent the purpose of the system.

Here, then, in this Civil Service Handbook S-812, are two important supporting statements for us who deal in records -- one is that the system requires the maintenance of only one basic set of records -- the other that the duplication of personnel records at intermediate levels is unnecessary and negates the purpose of the Commission's system.

Now, let us turn our attention to those personnel management records for which the Civil Service Commission does not prescribe the files system. These records are generally much more voluminous, always cover a much wider range or variety of subjects, and are probably located in numerous places throughout an agency, in addition to the operating personnel office. These are the records which ordinarily fall within the purview of the agency filing system.

It is these records with which we, as records officers, should concern ourselves, I believe, more than we do.

General Records Schedule 1 applies to both of the aforementioned categories, namely -- those records maintained in accordance with Civil Service Commission requirements and those maintained in accordance with agency filing systems. Of all of the 17 General Records Schedules, I am inclined to believe that General Records Schedule 1 - Civilian Personnel Records - receives the least amount of attention from us records people.

How many of us have ever sat down with the personnel people, or others in our agencies responsible for maintaining the many classes or groups of personnel records, and gone over with them, item by item, this General Records Schedule 1?

Of all the 17 General Records Schedules, only one -- the last one, No. 7, covering Cartographic and Related Records -- has more items in it than the 26 items listed in General Records Schedule 1. While it is true that a number of these Schedule 1 items are included in Civil Service Handbook S-812, there remain many items which I believe merit our attention as agency records management officers.

Evidently our Steering Committee must have felt the same way, or they would not have included this subject on the program for consideration this year. For these reasons, it is recommended that we take another look at General Records Schedule 1 and do some probing in our respective agencies in this area of personnel records management.

Now, before we have a roundtable discussion on this subject, there are two things I want to point out:

First -- From time-to-time, the Civil Service Commission, through its inspection program, has been critical of the Department's practices with respect to the maintenance of duplicate employee personnel folders. The agencies involved are AMS, ARS, FHA, FS and SCS. For your information, the Department expects to hear from the Commission in the near future relative to what the Department calls "Administrative Personnel Folders."

Second -- Here is a challenge - do you know what problems you have in personnel records? How many of you have reviewed Schedule 1 in the last year, to see what becomes of the duplicate copies or unnecessary material?

Now, let us have our open discussion.

Mr. Doyle (OAM): What did the Department say to the Commission to justify having these "administrative personnel folders?"

Mr. Walker (FHA): The Department justified its position on this premise -- These five agencies have delegated personnel authority to various field offices. We consider that the so-called duplicate folder referred to in the Commission's inspection reports is not, in fact, a duplicate folder (file), because its contents document for document, are not the same as the official personnel folder. Furthermore, it cannot always be properly referred to as a personnel folder since it contains in some instances not only personnel documents and correspondence, but reports, documents, correspondence, etc., relating to all phases of administration (Personnel, Budget, Fiscal, etc.) and program operation. It should be referred to as an administrative folder since it is essentially a tool of administration for use of the program division directors in some of the agencies.

Mr. Walker (FCS): Are the official personnel folders maintained where the employment authority is?

Mr. Walker (FHA): Yes. Furthermore, the "Administrative Personnel Folder" contains material about an employee for use of an office which does not have the official personnel folder.

Mrs. Thatcher (OAM): Don't you find in this folder actual duplication of what is in the official personnel folder? Why should five agencies feel it is necessary to have duplicate folders when there are 11 that do not?

Mr. Walker (FHA): I have not run across an agency that has delegated employment authority in the field that does not have some kind of folder or material to be filed at the national level for the employee; and where employment authority is in Washington, there is some kind of a folder or some way to keep employment documentation in the field.

Mrs. Thatcher (OAM): We ask the agencies not to make duplicates; to use, instead, the GAO copy.

Mr. Walker (FHA): OGC does not have delegated employment authority, but the man in the field office has documentation.

Mrs. Thatcher (OAM): He doesn't have individual, duplicate personnel folders.

Miss Randle (OGC): We tell our field man he may keep a copy of the Form 57 attached to the OF 4B, which is posted from the original notification before delivery to the employee. He does not maintain an individual folder for each employee. Except for the Form 57, field offices do not keep copies of any forms furnished the National Office. One folder, containing correspondence, is maintained for the entire office.

Mrs. Thatcher: The Civil Service Commission has granted some exceptions to Handbook S-812.

Miss Donovan: Don, will you take your topic now?

Mr. Taft (FS): Chairman, ladies and gentlemen: Several months ago when this Council was looking for topics for discussion or presentation during the 1959-60 season meetings, I suggested that there could be unexplored areas in the field of records creation.

I had in mind some yet undiscovered revoluntionary idea or method of invading the creating author's province. You see, I'm new in records management work, and have no idea how much of what I'm going to say will be old stuff to most of you.

For instance, I had in mind instructions with teeth, to prohibit the creation of a letter of transmittal that says nothing more than "attached is so-and-so", "as requested, so-and-so." Or if certain data is desired, to issue circulars or memorandums in duplicate to provide an answering medium to preclude that extra writing of "To-From-Subject," at least, and a short, one-line answer. In theory, the originating office would start the communication, save a tickler copy, and eventually both originating and replying offices have only one copy each of the complete communication. This last idea would involve two meanings of the word "creation", (1) the answering author would not be creating a communication, and (2) creation (the accumulation definition) of records would be reduced.

Then, I was thinking of outgoing non-record material being stamped "NON-RECORD" by the distributing office, to signal the receiver that such material was not to be filed and contribute to creation (definition, accumulation). Perhaps such material might be stamped somewhere along the distribution trail with the stamp "Last Reader Destroy."

Exploring involves going from one place to another or from one idea to another, and looking around. You may get that impression by the time my ten minutes on this program are finished. I've explored alone, hoping that you records people will bring up some questions applicable to your agencies.

My exploring carried me into Form Letters and Guide Letters of GSA. I'll not repeat anything I learned therein, except to emphasize that any agency can benefit by printed letters, memorandums, postal cards, informational slips, etc., in replying to repetitive inquiries. I've finally reached the topic shown on the notice for this meeting, "Exploring Methods of Replying to Inquiries Without Writing."

First, it leads you into that area of using the telephone, or perhaps some other method of voice transmission -- tapes, discs, etc.

Then, we could return to the Form Letter area or perhaps an information routing slip practice, or quickee replies. Some day, we may have "canned answers" just like calling by phone for weather or time, to take care of daily repetitive requests for certain information. In applicable instances, we could save the other fellow from writing by saying "No negative reply necessary."

Saturation points may occur in records storage and we'll be looking for ways of curbing creation. I expect these methods will be evolutionary as well as revolutionary.

I believe, through the cooperative efforts of Bill Clarke and Bill Huber (the Smokey Bear man), that a new method for curbing creation of correspondence, which has been written into Forest Service directives and put into practice, is a novel way of answering inquiries. It should help our situation. Perhaps other agencies do something similar. This procedure is as follows: On those communications which are non-record -- communications requesting publications, maps, folders, recreational facilities, etc., which complete the cycle of correspondence with the field -- should ordinarily be stamped with a "Smokey Bear" stamp. Incoming requests are returned to the originator with the requested material. This also gains additional publicity for "Smokey Bear" fire prevention. With this stamp we feel we will be able to overcome the writing of thousands of transmittal letters in our field offices. Our directives cover this instruction and the stamp reads as follows:

> "Thank you for your inquiry.
> The material is attached.
>
> "We appreciate your interest
> in conservation and your
> help in preventing forest
> fires."
>
> (Smokey's signature and paw print)

Our field offices, for answering inquiries, have devised form letters, but they require filling in and supervision to insure sending the proper letter. This stamp will obviate the use of several of these form letters.

Recently, we have had experience in losing personnel to the State Department. They are taking our GS-2 people at GS-3, Mail Controller. These people are being trained to read letters and stamp the requested information on the letters.

In the magazine, "The Office", is a remark of Wernher von Braun's that we will get to the moon if the paperwork doesn't hold us down. This remark is apropos to records creation anywhere.

I am still looking for some revolutionary idea that will invade that field of the author by selling him on the fact that he does not always have to write a reply in response to an inquiry. Thank you for listening. Are there any questions or suggestions?

Mrs. Thatcher: Do you use the endorsement letter at all?

Mr. Taft: In rare cases, but it has not been set up on a permanent basis. We have had employee suggestions on this that have been turned down. However, we have ordered and distributed about 500 of the "Smokey Bear" stamps. In Washington our people have been sending requests back with the requested material, but in the field they have not.

Mr. Walker (FCS): Do you keep any record of inquiries?

Mr. Taft: In the Smokey Bear Division they, themselves, do keep a record but we do not in our agency mail room.

Mr. Walker (FHA): When you developed this, did you make an estimate of how many letters you would cut out?

Mr. Taft: Approximately a quarter of a million a year, including superseded form letters, but there will still be requests which the stamp will not cover and a letter will have to be written. However, the stamp will take care of most of them.

Miss Donovan: Thank you, Don, for your presentation. I think we could all do some creative thinking in this field.

If there is no other business, the meeting is adjourned.

Minutes of USDA Records Management Council Meeting
Held on May 11, 1960, at 2:00 P.M.
Room 2245-S

Present:

Joseph Weeks	- ACPS	Bill Clarke	- FS
Beatrice C. Vizena	- ACPS	Howard Hayden	- FS
Jack Flowers	- AMS	Charles G. Manley	- FS
James H. Hopkins	- AMS	Don Taft	- FS
William W. Brown	- ARS	Mary G. Bryant	- Inf
A. O. Dusenbury	- ARS	Zelma J. Hicks	- Inf
Mildred K. O'Brien	- ARS	Peter J. Doyle	- OAM
E. C. Roth	- ARS	Virginia Thatcher	- OAM
Paul C. Wirth	- ARS	Larry Tornese	- OAM
Doris E. Wood	- CEA	L. E. Roberts	- OGC
Oneta Bear	- FAS	Randall Aubinoe	- OGC
Felton E. Robey	- FCA	James H. Austin	- P&O
Van Milton	- FES	Joseph K. Allison	- REA
Nick Allen	- FHA	E. S. Hatlestad	- SCS
Gordon Sproles	- FHA	Nuel Hurtick	- SCS

Ruth Donovan (FAS), Chairman: Good afternoon, everybody. This is our eighth, and final meeting of the year. Today we hold our annual election of officers. After the election, Bill Clarke, FS, chairman of the discussion group on "Procurement and Property Management Records," will report the findings of his group.

I would like to make a very brief report this afternoon, on the activities of the Records Management Council during this past year. Our attendance has been good all year. As for the programs, the efforts of your Steering Committee were successful in producing appropriate and stimulating programs on matters currently receiving the most attention in the records management field.

Mr. Loftus, Director of OAM, talked to us about management improvements and suggested ways for us, as records officers, to get the attention of top management. Mr. Alldredge, Assistant Archivist of the United States, gave us his ideas of the duties and responsibilities of records officers. Mrs. Thatcher and Mr. Doyle (OAM) and Val Trowbridge (FCIC) presented the Department's records management review program for discussion. Two representatives from GSA appeared before the Council to ask our evaluation of their proposed plan to transfer records to the Franconia Records Center. You will recall the Council voted for once-a-month pickup service from GSA.

This year, we started a series of panel discussion meetings. You selected the topics. A chairman was appointed for each discussion topic. I want to take this opportunity to thank the chairmen of these group discussions. They did an excellent job in arranging their meetings and reporting findings back to the Council. Carl Christianson (CSS) did the work for the one on public transportation records; Nick Allen (FHA), the one on on-site audit records; Gardner Walker (FHA), personnel management records; and Don Taft (FS), the one on exploring methods of replying to inquiries without writing.

As I mentioned earlier, Bill Clarke is to give us his report today, on procurement and property management records.

There are still several topics we were unable to discuss this season. The Steering Committee recommends they be extended into next season. I should add, these discussion meetings brought up a lot of real problems, perhaps more problems than they solved. This is one of the best ways I know of getting mutual problems on the table for discussion. I remember one of the meetings got rather turbulent at times, but that adds to the interest. I believe you will agree we did get more participation by Records Management Council members in the meetings this year. We will now proceed with the election.

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The election was duly carried out, with the following results:

Nick Allen (FHA) - Chairman
Van Milton (FES) - Vice-Chairman

Steering Committee

Don Taft (FS)
Harold Rawcliffe (CSS)

Mr. Bill Clarke (FS) then presented the findings of his group on procurement and property management records. His talk was followed by a brief question-and-answer period.

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Mrs. Thatcher (OAM): On behalf of the Council members, Ruth, I want to express appreciation for the excellent job you have done as Chairman during the past year.

Miss Donovan: Thank you, Virginia. I would like to thank the members of the Steering Committee, Zelma Hicks, Van Milton, Charles Trowbridge, Joe Allison and Pete Doyle, for the time and effort they employed in order to make our Council meetings a success. I have enjoyed working with you, and I thank you for the attention you have given me.

Meeting adjourned - 3:00 P.M.

Minutes of USDA Records Management Council Meeting
Held on September 21, 1960, at 2:00 P.M.
Room 509-A

Present:

Robert H. Lando	- GSA	J. H. Hayden	- FS
Jack Flowers	- AMS	Don Taft	- FS
William H. Hillenbrand	- AMS	Mary G. Bryant	- Inf
William B. Wiswell	- AMS	Zelma J. Hicks	- Inf
William W. Brown	- ARS	A. Lyree Phillips	- Lib
E. B. Bryan	- B&F	P. J. Doyle	- OAM
Mary L. Butler	- CEA	V. W. Thatcher	- OAM
Doris E. Wood	- CEA	Larry Tornese	- OAM
H. C. Perry	- CSS	C. E. Wylie	- OAM
H. Rawcliffe	- CSS	Barry Goldstone	- OGC
Oneta Bear	- FAS	L. E. Roberts	- OGC
Val Trowbridge	- FCIC	Margaret Sullivan	- Pers
John Smiroldo	- FCS	Margaret Schneider	- P&O
A. G. Allen	- FHA	Joseph K. Allison	- REA
Catherine S. Glynn	- FHA	C. J. Frasemer	- REA
Arthur J. Smith	- FHA	William T. Templeman	- REA
Gordon Sproles	- FHA	Dorathea Wallner	- REA
Charles G. Manley	- FS	E. S. Hatlestad	- SCS
		Nuel Hurtick	- SCS

Mr. A. G. Allen (FHA), Chairman, called the first Council meeting of the season to order. He then requested introduction of guests. He introduced Arthur Smith, FHA, and Catherine Glynn, FHA, who are to be new members of the Council. Mr. L. E. Roberts, OGC, introduced Mr. Barry Goldstone from OGC.

Mr. Allen introduced Mr. Lando, GSA (formerly with AMS), who invited the cooperation of agency representatives in obtaining execution of a limited number of "File Operations" questionnaires. The questionnaires are designed to gather ideas for a files maintenance workshop for persons who do filing on a part-time basis. Mr. Lando requested that they be completed and returned to the Office of Administrative Management within two weeks.

Mr. Lando also called the Council's attention to the IRAC announcement for September 16, which mentioned the newest of the councils now being formed in IRAC - the Record-Keeping Council, chaired by Don Simon of the State Department, formerly with OAM.

Mr. Allen then introduced Mr. C. E. Wylie, Assistant Director, Office of Administrative Management, who spoke in place of Mr. Loftus, the scheduled speaker. Mr. Loftus was out of town.

Mr. Wylie: I have had an interesting telephone conversation with Dr. Drewry of the National Archives, which I would like to mention to you. In discussing the national records holding figure of 10 cu. ft. per person, I commented that if all of us would clean out our desks, we could put all of our records in them. She said that would only hide them -- not dispose of them.

In looking at our 1960 accomplishments, we find that USDA reduced records holdings by 2%, or 18,314 cu. ft. Present holdings are 884,598 cu. ft. (9.7 cu. ft. per employee). Fifteen agencies reduced their holdings, with a high of 67.3%. Six agencies increased their holdings, with a high of 23.7%. Government-wide holdings are now at 24,000,000 cu. ft., or approximately 10 cu. ft. per employee.

In 1960, the last seven Department agencies had their plans approved by GAO for transfer of on-site audit records to Federal Records Centers. GSA feels that the Centers are giving excellent service and that their use could be increased. Centers are disposing of records at the rate of 500,000 cu. ft. a year and acquiring 1,500,000 cu. ft. Their present capacity and holdings are 5,000,000 cu. ft., and additional capacity is being planned for, as needed. Dr. Drewry seemed to feel that Center acquisitions and dispositions may even up in about ten years. She also commented that USDA has one of the best records management programs in Government.

In November, 1959, 23 USDA records officers received a one-week training course in paperwork management from GSA. It will be repeated this year, if there is sufficient interest.

GAO has a keen interest in records disposal. This necessitates clearance of disposal schedules and lists with GAO prior to submission to the National Archives and Records Service. Because of this we will have to submit two additional copies of our proposed schedules and lists; one for Mr. Charam and another for Mr. Humphrey's office (GAO).

On the disposition of non-record material, Mr. Loftus asked me to mention the use SCS has made of OAM Memorandum No. 2 of August 31, 1959. We wonder what other agencies have done. Did some of you take steps as a result of this Memorandum?

<u>Mr. Allison (REA)</u>: Yes, REA did. We are sending you a report on this.

<u>Mr. Wylie</u>: I have talked a good deal about shelf-filing. Dr. Drewry's staff tells me there is a trend toward more shelf-filing in Government, but that shelf-filing should be applied with its advantages and disadvantages well in mind. While, normally, there is a space saving of about 25%, adoption should be based on consideration of <u>all</u> pertinent economic and service factors, as well as the security of subject matter in open filing and of the documents themselves. So -- promote shelf-filing, but consider the feasibility problem.

Now, regarding the OAM paperwork management surveys -- our boss is very much for them. They provide a total agency look; they are the best possible approach for us, considering the circumstances involved -- the small size of our staff, and our limited time, as well as the agencies' own resources. In 1960, we made such surveys in CEA, FCIC, FES and SCS.

Our records management folks are working on a publication which will be a combination of P&O #9 and P&O #10. The proposed publication is in draft stage at this time. Basically, it contains guidance material on filing and disposition practices and is designed for self-application in small field offices.

Another matter which Mr. Loftus suggested that I mention to you is that of legislative proposals. You ought to give them serious consideration. In 1960, there was a repeal of certain reports made to Congress. There is other legislation besides the records act, which affect you records people. Some of this could be improved. Agencies should review the need for legislative proposals in the records field.

Mr. Loftus wanted me to ask if you have anything in mind which OAM might do to make your work easier, to help solve your problems, to help resolve issues, to help improve records management operations. If you have any ideas, please let us know.

In closing, I would like to comment on an item in the announcement: "Exchange of Ideas Year" is a good slogan, but I think Nick's proposal to make it an "Ideas Year" is perhaps better. Records management people have distinguished themselves not only by the work they have done but by the ideas they have had.

I would like to comment briefly on the solid front you folks present to the Department and to records management people throughout Government. This is a very impressive thing. I have belonged to many organizations. Some of them have burned out simply from lack of ideas. Here, you generally have a good turnout and lots of food for thought. It is good to see the unity of your efforts and the fraternal relationship that seems to exist between you. This is very commendable, and I would like to feel I am a small part of this group, too. I wish you all kinds of success during the coming year. Thank you.

Mr. Allen: Thank you, Mr. Wylie. Your remarks were very informative and carried a message that we should all think about. I am sure the members of this Council feel you are a member of the "Council family."

Council members are urged to continue to present their ideas to the Steering Committee for consideration and programming, including the presentation of records operating problems we have in our respective shops we have not been able to solve. Let's see if the Council can find a solution.

Taking a cue from the Steering Committee's announcement for this meeting, let's all strive to make this truly an "ideas year."

In our attendance at the IRAC meetings, we are constantly exposed to theories - now let's key in on the "ideas year" so that when we return to our respective shops following a Council meeting, we can take something back in the way of "working tool ideas" to solve some of our problems.

The Steering Committee's announcement of our first meeting suggests the Council continue with the unfinished program carried over from last season. The announcement lists the unfinished topics; others may be added from time to time.

Is there any other business to be brought before the Council?

Zelma J. Hicks (Inf): I would like to have the Steering Committee meet for a short time Friday afternoon, September 23, at 2:00 P.M. in this room.

William Hillenbrand (AMS): I would like to discuss the depository in the attic. We have all put up with a lot during the conversion to air-conditioning. Now that it is about over, I think the Department should take steps to put the attic in suitable condition. We are getting dust in our transfer files. I think if the aisles were painted, it would reduce the dust accumulation.

Mr. Wylie (OAM): We will look into the situation and see what can be done.

Mr. Allen: Bill, here is a point that may be of interest to you -- three years ago, we set our goal to discontinue attic business and utilize to a greater extent the facilities of GSA across the river. At that time, we had approximately 800 drawers of material stored in the attic and the depository. Mr. Sproles can verify my estimate. The last time I checked, there were 209 drawers. There are probably less now. I hope that in two more years we can be out of this storage space entirely.

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No other business was brought before the Council and the meeting was declared adjourned.

Minutes of USDA Records Management Council Meeting
Held on December 14, 1960 at 2:00 P.M.
Room 509-A

Present:

Joseph Weeks	- ACPS	Catherine S. Glynn	- FHA
Jack L. Flowers	- AMS	Gordon Sproles	- FHA
W. Hillenbrand	- AMS	Gardner Walker	- FHA
James H. Hopkins	- AMS	Bill Clarke	- FS
Bill Wiswell	- AMS	Don Taft	- FS
William W. Brown	- ARS	Zelma Margelos	- Inf
E. B. Bryan	- B&F	Peter Doyle	- OAM
Mary Lee Butler	- CEA	J. P. Loftus	- OAM
P. C. Beach	- CSS	V. W. Thatcher	- OAM
C. G. Christianson	- CSS	Larry Tornese	- OAM
H. C. Perry	- CSS	L. E. Roberts	- OGC
H. Rawcliffe	- CSS	Margaret Sullivan	- Pers
Van Milton	- FES	Dorathea Wallner	- REA
A. G. Allen	- FHA	E. S. Hatlestad	- SCS

Presiding: Mr. A. G. Allen (FHA), Chairman.

Program: Mr. Allen presented the first speaker, Mr. Don Taft (FS) who spoke on "Records System Installation Techniques".

Mr. Taft: The potential use of preprinted, self-adhesive file labels was visualized when consideration was first given to coordinating the Forest Service directives system.

The file system uses numbers and headings for file designations which correspond to title and chapter numbers and headings in the Forest Service Manual where instructional material on the same subjects is presented.

Before preprinting self-adhesive labels consideration was given to the quantity need of selected labels at the various levels of organization in the Forest Service. The entire file system has over 400 designations. Sets are prepared separately for 800 ranger districts, 152 forest supervisor offices, 10 regional offices, 98 experimental forests, 66 research centers, 12 experiment stations, and all divisions of the Washington office. These sets are uniform for each level of use: 174 labels for ranger and research center offices; 318 labels for forest supervisor offices; 350 labels for regional and experiment station offices; and 170 labels in a special set for use in research offices. There was a total printing of 208,000 for FY 1959 files. There was a total printing of 376,000 for FY 1960 files.

Our first purchase of self-adhesive labels in 1959 was on a contract negotiated by CSS. We procured 300,000 labels (1,000 to a roll) at $1.82 per roll.

Printing costs by addressograph means, plus the cost of labels, was $5.84 per thousand. Quality of print was considered only "fair." The adhesive backing was not the best. We also printed a few sets of the labels by the tape process on a Flex-o-writer typewriter. We ran into heat troubles with the adhesive and had to refrigerate the rolls of labels. Unrolling the printed labels by sets and distribution of same was too time consuming.

For 1960 we purchased a better grade of permanent self-adhesive labels at $2.58 per thousand. These labels are three wide on a vertically perforated backing sheet between labels and horizontally perforated every 12 inches for fan folding. Four hundred thousand labels were purchased. IBM cards were punched and the labels printed on an IBM 407 "Tabulator" accounting machine. The cost (labels and printing) was $5.21 per thousand. The printout quality was excellent. This process provides uniform file labeling in all offices. The same labels are cut out (with backing left on) and inserted in filing guides.

Terry Beach of the State Department Records Management Division was interested in our preprinted label efforts and we exchanged some data on the process. He made a limited label typing and label application time studying which indicates a great saving in application of self-adhesive labels.

<u>Typing Time</u>

Conventional label	31 min. - 147 labels
Self-adhesive label	29 min. - 147 labels

<u>Application Time</u>

Conventional label	1 hr. 44 min.
Self-adhesive	30 min.

We feel certain that the centralized purchase, printing and distribution of preprinted labels is far more economical than their preparation at the approximately 1,200 filing locations in the Forest Service. Our 1960 preprinted label job has been satisfactory. Further cost reduction can be made in accordance with the following resume of our IBM 407 printout experience.

"The trial run clearly indicated that file labels can be prepared more economically and with higher quality of printing by using the 407 than with any other method of mass production used to date. Further, there will be opportunities to effect additional savings, if and when 407 or similar printers are available in Forest Service installations. In passing, R-6 now has several 407's, and one will be delivered to R-5 within the next 30 days.

"Another factor for consideration is our ability to provide our own operator even though it may be necessary to rent machine time from another agency. We were unable to do this when making the June 1960 runs. This has a bearing on the rental rate, and, more important, when our own operator is used we can establish and insist on a higher production rate than that obtained with Service Bureau or other agency handling. For example, production by AMS was approximately 6700 labels per hour; with our own operator, and with our having a hand in scheduling production, accomplishment was approximately 8700 labels per hour, or an increase of 30%.

"It is recommended that we continue use of the 407 accounting machine for writing labels. A long-range objective should call for eventual handling of this job in the regional tabulating units when 407 or similar printing units are available. Also, if the master file of designations could be firmed up sufficiently in advance of each fiscal year, it would be possible to do the printing during slack periods as a fill-in job."

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Mr. Allen then introduced Mr. Philip Beach, who talked about CSS Filing Installations.

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Mr. Beach: CSS got into self-adhesive or pressure-sensitive labels in developing a uniform filing system for field offices. We have three different areas of use for these labels. We use them for shipping labels, for labeling our handbooks and for file folders. There are 3,000 field offices at county level in which we use about 10 million labels for file folders. We use about 3 million labels for shipping, and 100,000 labels for procedure manuals.

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Mr. Beach then passed around several folders containing samples of the labels for Council members to examine.

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The labels made of rayon cloth base material we use on procedure binders. They will even stick on imitation leather. Notice the postal indicia label. Inside the folder are the labels we use in our filing system. We use three different types of materials. The slick material is Sone tape for primary and secondary labels. The machine shown prints their labels (about 1 million labels a year) and will turn out about 100 a minute. We use these labels for all county office uniform filing systems. Labels are printed at State offices for county offices on an Addressograph. Once a year, we up-date the files and print about 7½ million labels. The only labels we furnish from the Washington Office are the primary and secondary labels. Cost-wise, from almost every angle, adhesive labels are cheaper. One hundred thousand Sone labels, including purchase, printing and application time, cost approximately $740.

Mr. Allen: Is there consistency in the shade of the colors?

Mr. Beach: At first we had some difficulty with this, but we developed a color chart which we use when we send out bids. If you make specifications clear, you will have no trouble.

Mr. Milton (FES): What do you think is the future of pressure-sensitive tape?

Mr. Beach: After our experience with it, I think the ease of preparation and application will eventually run the "lip-stick" tape out of business -- say in about another five years. The cost ratio between lip-stick and self-adhesive labels is about 6 to 1. There is about a 3% loss in the lip-stick label.

Mr. Allen: In using a color scheme, do you also use a divider guide as the Forest Service does?

Mr. Beach: No, we use pressboard divider cards and paste labels directly on them.

Mrs. Thatcher (OAM): How long do your guide cards last?

Mr. Beach: We installed them in 1956, and they are still in good condition. They will probably last from eight to ten years.

Mr. Allen: Do you have a color scheme within a basic color?

Mr. Beach: We have one color for a program, with pre-printed labels for primary and secondary positions. Folder labels are ordered in the same color. We have 3,000 county offices and color sells a filing system. The range of materials, and the jobs they will do, is tremendous. Basically, we use full-cut folders.

We use about 9 million filing labels a year. Buying, labeling and attaching runs us approximately $50,000 a year. We save about $7,000 a year with the self-adhesive labels.

Mr. Allen: Thank you, Mr. Beach.

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Mrs. Zelma Margelos announced the topic for next month's meeting -- "Where is the USDA Records Management Council and where is it going?".

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Mr. Allen: I believe the topic is a highly appropriate one for the month of January. If there is no further business, the meeting is adjourned.

Minutes of USDA Records Management Council Meeting
Held on January 18, 1961, at 2:00 P.M.
Room 509-A

Present:

Jack L. Flowers	- AMS	Allison G. Allen	- FHA
W. Hillenbrand	- AMS	P. R. Crutchfield	- FHA
James Hopkins	- AMS	Catherine S. Glynn	- FHA
Ira N. Kellogg, Jr.	- AMS	William F. Clarke	- FS
W. B. Wiswell	- AMS	Howard Hayden	- FS
William W. Brown	- ARS	Charles G. Manley	- FS
Paul C. Wirth	- ARS	Donald E. Taft	- FS
Elmo Bryan	- B&F	Mary Bryant	- Inf
Mary Lee Butler	- CEA	Peter Doyle	- OAM
Doris E. Wood	- CEA	Virginia Thatcher	- OAM
C. G. Christianson	- CSS	Larry Tornese	- OAM
H. Rawcliffe	- CSS	Fred P. Herzer	- OGC
Oneta Bear	- FAS	Margaret Sullivan	- Pers
Ruth Donovan	- FAS	J. H. Austin	- P&O
Charles V. Trowbridge	- FCIC	E. S. Hatlestad	- SCS
John Smiroldo	- FCS		

The regular monthly meeting of the USDA Records Management Council was called to order by the Chairman, Mr. Allison G. Allen, at 2:00 P.M.

There were no guests present. There were no announcements to be made.

The Chairman proceeded with the planned business of the meeting by presenting four (4) proposals dealing with the operations and By-Laws of the Council for consideration by the membership, as follows:

1. Establishment of an Objectives and Policy Evaluation Committee.
2. Make certain adjustments in Steering Committee duties.
3. Rotation of Officers and Steering Committee Members.
4. Amend the By-Laws.

Mr. Charles Manley submitted the following proposal for consideration: i.e., allocate approximately 10 to 15 minutes at the outset of each Council meeting as a discussion period concerning individual agency problems. Any one or more problems that warrant further discussion could be programed by the Steering Committee as subject material for a subsequent Council meeting.

A round table discussion ensued. The discussion culminated in a motion by Mr. Elmo Bryan to appoint a committee to consider all ideas and proposals for proposed amendments to the existing By-Laws, such proposed amendments to be presented at the February Council meeting. Motion was seconded and carried.

The Chairman appointed the following members to serve on the committee:

Mr. Charles V. Trowbridge, Chairman
Mr. Jack L. Flowers
Mr. Elmo Bryan
Mr. Paul C. Wirth
Mr. William Hillenbrand

Mr. Trowbridge announced there would be a meeting of the committee on Wednesday, January 25, 1961, at 2:00 P.M., place to be named later. He requested that all proposals and ideas be submitted to the committee before the scheduled committee meeting date. Mr. Allen agreed to sit in on the committee meeting for the purpose of clarifying points raised in his proposals that may be subject to controversy with regard to intent.

The meeting adjourned at 3:30 P.M.

Catherine S. Glynn
Secretary - pro tem

Minutes of USDA Records Management Council Meeting
Held on April 12, 1961 at 2:00 P.M.
Room 509-A

Present:

Jack L. Flowers	- AMS	Laura E. Duncan	- FHA
A. J. Geiger	- AMS	Catherine S. Glynn	- FHA
W. Hillenbrand	- AMS	V. O. Roy	- FHA
I. N. Kellogg, Jr.	- AMS	Gardner Walker	- FHA
Ernest B. Alexander	- ARS	Bill Clarke	- FS
William W. Brown	- ARS	Glenn P. Haney	- FS
Thomas P. Quigley	- ARS	Georgia Sherman	- FS
Louis Venafra	- ARS	Don Taft	- FS
Mary Lee Butler	- CEA	Mary G. Bryant	- Inf
Doris E. Wood	- CEA	P. J. Doyle	- OAM
Sara Cohran	- CSS	J. P. Loftus	- OAM
H. C. Perry	- CSS	V. W. Thatcher	- OAM
H. Rawcliffe	- CSS	Larry Tornese	- OAM
E. J. Sabatini	- CSS	Barry Goldstone	- OGC
Oneta Bear	- FAS	Ida Manley	- OGC
Blanche M. Lauck	- FAS	L. E. Roberts	- OGC
Val Trowbridge	- FCIC	Richard Duncan	- Pers
Van Milton	- FES	Frank Marx	- Pers
A. G. Allen	- FHA	Dorathea E. Wallner	- REA
		Nuel Hurtick	- SCS

The Chairman called the April 12, 1961, Council meeting to order at 2:00 p.m.

Visiting guest were introduced and then the Chairman introduced the guest speaker, Mr. Frank Marx, Office of Personnel.

Mr. Marx talked about the background and general views of classification officials surrounding the conversion of the old 303 classification series into the new 343 and 344 series. He also used prior written questions presented to him as a basis for his leading the discussions on this subject.

During the meeting a number of controversal points came to light, including several suggestive communication avenues records management people could use in letting their views be known to personnel management. The use of a Council sub-committee for this purpose was proposed by Mr. Marx.

Following Mr. Marx topic presentation the guest departed and the remaining routine business of the Council was conducted. At that time the membership decided it would be better to handle their respective agency records management classification problems by presenting them to Mrs. Thatcher who would take them up with Mrs. Bennett of the CSC.

Minutes of Meeting
USDA Records Management Council
May 10, 1961, 2:00 P. M., Room 509A

Present:

Jack L. Flowers	- AMS	Gardner Walker	- FHA
L. T. Milbourn	- AMS	Donald E. Taft	- FS
Paul C. Wirth	- ARS	W. F. Clarke	- FS
Elmo Bryan	- B&F	Mary Bryant	- Inf
Mary Lee Butler	- CEA	Zelma Margelos	- Inf
Doris E. Wood	- CEA	A. Lyree Phillips	- Lib
C. G. Christianson	- CSS	Peter Doyle	- OAM
H. Rawcliffe	- CSS	V. W. Thatcher	- OAM
Oneta Bear	- FAS	Barry Goldstone	- OGC
Ruth Donovan	- FAS	L. E. Roberts	- OGC
C. V. Trowbridge	- FCIC	J. H. Austin	- P&O
John Smiroldo	- FCS	Joseph K. Allison	- REA
Van Milton	- FES	Dorathea E. Wallner	- REA
Allison G. Allen	- FHA	E. S. Hatlestad	- SCS
Catherine S. Glynn	- FHA	Nuel Hurtick	- SCS

The final meeting of the 1960-61 USDA Records Management Council was called to order by the Chairman, Mr. A. G. Allen, at 2:00 P.M.

There were no new members or guests present.

The Chairman expressed the Council's appreciation to the Nominating Committee for the slate of candidates and then proceeded with the election of a new Chairman, Vice Chairman and two Steering Committee members. There being a tie vote in the first ballot cast for Steering Committee members, the Chairman called for a run-off ballot.

There were no nominations from the floor for the offices to be filled.

The election was duly carried out with the following results:

Chairman

Jack L. Flowers (AMS)

Vice Chairman

Harold D. Walker (FCS)

Steering Committee Members

William H. Hillenbrand (MOS)
Catherine S. Glynn (FHA)

It was announced that Mr. I. A. Tornese would serve as the OAM appointed member to the Steering Committee for the 1961-62 Council season.

Announcements:

Mrs. Thatcher informed the membership that a reprint from the December 1960 "FACTORY" publication had been made of the article "Better Records Management" by Charles E. Hughes, Company Records Manager for the Douglas Aircraft Company, Inc.

Mrs. Thatcher urged Council members to attend the Interagency Records Administration Conference (IRAC) meeting to be held on Friday, May 19, 1961. This meeting will be devoted to a discussion of the new standards for management analysts as well as the new standards presently being prepared for management technicians.

The Chairman expressed appreciation to the Steering Committee, the temporary By-Laws Committee, the "refreshment workers" and membership for a job well done. He advised the revised By-Laws had been submitted to the Department for approval.

In closing, the outgoing Chairman suggested that the Steering Committee consider including in next year's program those scheduled topics for which time did not permit discussion during the year ending. He also urged all-out membership effort be made to awaken a keen awareness on the part of top management of the Council's abilities and services available as a management aid -- full stature recognition can be rewarding!

There being no further business, motion was made and carried to adjourn the Council until September 1961, which will be the first meeting month of the 1961-62 Records Management Council season.

Minutes of USDA Records Management Council Meeting
Held on September 20, 1961, at 2:00 P.M.
Room 0742-S

Presiding: Jack L. Flowers (AMS)

Members and guests present:

W. B. Wiswell	- MOS	Mardean R. Miller	- SCS
Donald E. Taft	- MOS	Nuel Hurtick	- SCS
W. Hillenbrand	- MOS	Gardner Walker	- FHA
Leonard E. Vaughan	- MOS	Catherine S. Glynn	- FHA
Howard Toy	- MOS	J. P. Loftus	- OAM
Van Milton	- FES	Mary Lee Butler	- CEA
LeRoy Milbourn	- AMS	Allen Murdock	- ASCS
Nick Allen	- FHA	William P. Jones	- ASCS
Virginia Wolfersberger	- REA	C. G. Christianson	- ASCS
Joseph K. Allison	- REA	H. C. Perry	- ASCS
George A. Klippstein	- OGC	Edward Morse	- Inf.
L. E. Roberts	- OGC	Mildred K. O'Brien	- ARS
Dorathea E. Wallner	- REA	Virginia W. Thatcher	- OAM
Clayton J. Frasemer	- REA	Bill Clarke	- FS
Felton E. Robey	- FCA	A. Lyree Phillips	- Lib.
Harold D. Walker	- FCS	John E. Hamer	- FS
John Smiroldo	- FCS	Pete Doyle	- OAM
William W. Brown	- ARS	Jack Flowers	- AMS
Gilbert E. Lewis	- SCS	Larry Tornese	- OAM

Peter J. Doyle (OAM):

During October, 1958, OAM gave up 43% of its storage capacity in the 6th Wing Depository. This amounted to about 2900 square feet of floor space. In February, 1961, OAM was again asked to give 338 square feet of floor space from the Depository. Now Plant and Operations has asked OAM to release an additional 500 square feet of floor space from the Depository. The space is needed so that a dressing room may be installed for the cafeteria employees.

Every time we give up a small amount of Depository space, we give ourselves a large-size job of relocating the records into our remaining space. Therefore, we are considering giving up the Records Depository entirely. The Federal Records Center gives excellent service; we don't think that the Depository is needed. We'd like you people to think about this; you who have records stored in the Depository.

We know that there isn't much usage of the Depository. During fiscal year 1961, 13 requests were received to place new material in the Depository. Five (5) lots of records were removed during the year. We don't know how many visits to the Depository were made for the purpose of using the records in it.

As I've said before, we'd like you agency people to think about the Depository. If you have any ideas on it, please let us know about them in the next few days. Personally, I'd like to see OAM get out of the Depository business entirely. I think that the agencies which store records in the Depository would be better off if they did the same thing.

Jack Flowers then introduced Dr. Everett O. Alldredge, Assistant Archivist of the United States, Records and Management, and Director of Program Development Division, NARS.

(Dr. Alldredge's speech has been attached separately. Some Records Officers may wish to file it in their "Records Management libraries". It is an excellent source of ideas for anyone who wishes to apply SDA techniques.)

THE ROLE OF THE RECORDS MANAGER IN DATA PROCESSING

by Everett O. Alldredge

USDA Records Management Council
Washington 25, D.C.

September 20, 1961

In chatting with you today about the role of the records manager and data processing, I think we would do well to break data processing into about three pieces. These are arbitrary divisions, to be sure, yet there is a certain logic in such a break.

The first area that we might demarcate and set aside is what is usually called automated information retrieval. Ralph Shaw, the librarian at one time of USDA and now the illustrious Dean of the Library School at Rutgers, helped coin these words and did a great deal to get people interested in them. I submit to you, however, that automated information retrieval isn't necessarily a library proposition. It has overtones for the records manager. I think the alert records manager will learn enough about automated information retrieval to satisfy himself whether the records in his care lend themselves to this kind of automation or whether he should stick to the more conventional methods. I'll come back to information retrieval in a moment because it is the area in which the records manager can work with the greatest ease.

The second area is one which industry often calls integrated data processing, IDP. The words were coined about 1954, and popularized at a number of meetings which the American Management Association then held. The AMA got sufficiently interested in what U.S. Steel, Aluminum Company of America, Ford Motor, Acme Steel, and Eberbach and Son were doing to call a number of meetings in New York at which representatives of these firms spoke. When this thinking got picked up inside the Federal Government, there were a number of people who didn't feel that the terminology was sufficiently descriptive. So now it's more often called in the Federal Government, Source Data Automation.

In the source data automation field we're dealing with fairly conventional equipment, typewriters, adding machines, comptometers and the like. What we mainly do to those machines is put a reading head on them so that they'll read either punched cards or punched tape. This tape or these cards tell the machine what to do and the machine does it. You and I know a good deal about typewriters, adding machines, and comptometers. So we don't have to make too great an effort in order to catch up on the literature of reading heads to understand how and see how we can use this kind of equipment. After all it doesn't, moneywise, cost anything like the big computers with an electronic memory. It's the memory that makes the big machines cost so much money. The input and output devices on the big machines aren't the costly part. So if we use equipment without an electronic memory we're talking about equipment which small organizations can afford. Electronic typewriters cost $3,000 or less. Your adding machines, of course, depend on the number of keys,

and the number and kinds of arithmetic computations to be made, but they, too, will run anywhere from $700 up to $2900. So I'll be talking a little bit this afternoon about SDA.

The third area is called "automatic data processing." Here we're talking usually about machines with memories, we're talking about machines which tend to start around the hundred thousand dollar figure and then they go up, of course, to a million. Underneath the sleek, steel cabinet of the computer is a fantastic complex of machinery that justifies the great cost--miles of wiring and thousands of transistors. One manufacturer of computers stocks 160 different grades of steel, many of which didn't even exist 10 years ago.

With ADP we are in an entirely new world for most of us because in order to take advantage of that electronic memory we have to do extensive programming. Programming has been defined as preparing sequences of instructions for any given job or application. Most programs must include alternate steps or routines to take care of variations that cannot be foreseen beforehand.

Compare a computer to a mathematician seated before a desk calculator. You hand him a piece of paper with a problem and detailed instructions for working it out. This is the program. He calculates, writes the answers down, and uses these answers to make further calculations. The paper on which he writes is his memory storage system. He writes the final answer and hands it to you, or types it out, or records it on a tape recorder. This is all a computer does, but it does it incredibly fast.

People are often mystified by computers when they should really be mystified by mathematics. If you drop a steel ball from the top of the Empire State Building, and you want to know how fast it is traveling when it passes the 30th floor, you cannot simply ask the computer. You must first tell the computer the formula for the velocity of falling bodies, then supply numbers for the formula. The computer will retain the formula and the numbers in its memory storage system, then calculate the result.

To make the big memories of the big computers work you get into a very sophisticated kind of programming. This usually takes us completely outside of the world in which we have been accustomed to dwell. I think it's this that makes most of us pull back and retreat from ADP. I'm not going to contend for a moment that we want to get very far in the ADP process. Yet there is one area even in the ADP field to which I think we can contribute, so I'd like to talk later about that area.

With our terminology outlined, now let's retrace our steps and start all over again.

AUTOMATED INFORMATION RETRIEVAL

Automated information retrieval is different from most of the kinds of retrieval that you and I are accustomed to deal with in the records field, because it uses a different classification methodology. Usually when we speak of records retrieval we're talking about either document retrieval or case file retrieval. We retrieve both of them by putting them in a pre-established order. This order is a "classification scheme," or categorization of subject matter, although sometimes the arrangement is purely numerical. In the case of good document retrieval, your big problem is thinking through the classification of the material.

One of the things that worries me a little bit about records management people is we don't know our antecedents. This failure is one of the things that tends sometimes to put a needlessly prosaic color to our work. It's also one of the things that tends to downgrade records management people. Sometimes we don't really know the amount of thought and effort that has gone into the discipline of which we are now practicers. Now when you and I start talking about the classification of documents, this classification problem isn't dissimilar in the amount of cerebration required for the classification of insects, or the classification of flowers, or the classification of animals, or any of the great classification schemes that the scientists have had to draw up. Many scientists have made their reputations on the basis of some of the classification work that they've done.

Classification is pretty much contained in that first word, class. You try to select words which will include one body of facts and exclude another body and that's what we try to do in our subject file headings. In our files classification guides we try to choose words about which will cluster certain kinds of documentary material and another word around which other material will cluster. We usually want these terms to be mutually exclusive.

In the whole area of classification doctrine, some of the best minds which the world has ever known have spent a lot of time trying to figure out just what is involved in inclusion and exclusion terminology. If any of you haven't read Aristotle recently, and I imagine that's most of us, I invite you to take a look. I think you'll find that when you start peeling off a good deal of the peripheral verbiage from Aristotle that most of Aristotle's writings in one way or another are concerned with classification. He wanted to know how he could pigeon-hole his knowledge; how he could subdivide it so that he could pedagogically describe what was going on in the world. So he spent a great deal of time in trying to work out various schemes of classification.

If you proceed through the Middle Ages when the church was the supreme institution, again you'll find that the best thinkers (who tended to be theologians) spent an enormous amount of their time talking about classification. Unless we have some Roman Catholic friends in our midst,

I don't imagine too many of you ever spent much time reading Thomas Aquinas. Thomas Aquinas, however, was determined to categorize his religious knowledge. In the process he had to repeatedly ask himself what is involved in building a classification scheme. What kinds of ideas do you have to bring into play in order to do this kind of work? Descartes, Pascal, Hobbes, Locke, Berkeley, Russell--great philosophers all--repeatedly addressed themselves to this question.

Well, classification is at the heart of information retrieval. In information retrieval we're trying to go beyond document retrieval. We go in for content retrieval. All files classification schemes do some of this,.but not to the depth required for automation. When you start asking yourself how to break out the thought content of the document and start classifying that thought content, you're asking yourself to do something basically different from document retrieval.

This is why Vickery has developed "faceted classification," why Taube has devised "uniterms," why Gull got "descriptors" prepared for Astia, why persons like Luhn, Ranganathan, de Grolier, Andrews, Booth, and Henkle are working like Trojans to come up with a universal methodology. One of the finest jobs in this area has been done by the U.S. Patent Office.

How many times, however, does document retrieval prove inadequate for us? This is, of course, something that each of us has to ask ourselves about the various files that we know something about. That means we have to ask a number of questions. How long does it take us to find something? Do we find something in a minute? Does it take us four minutes? Does it take us 15 minutes? Does it take us an hour? Certainly if you're finding things in a minute, there is no reason to automate because automation isn't going to do much better than that. On the other hand, if it's taking you on an average of 60 minutes to find requested data, then it's time to ask yourself if your classification scheme isn't at fault. It may turn out that the real problem is that you have been classifying documents where you should be classifying information.

I would like for those of you who can find the time to visit the most recent automatic information retrieval installation in Washington, which is at the Bureau of Ships, Navy. All incoming documents are classified. For years the clerks had been typing an index card for each document filed. Now, instead of typing up an index card, they're making an edge punched tape card. This card and the document it controls are then microfilmed. Once they feed the edge punched tape into the machine it will produce the document for them in the microfilm reader.

This is a kind of an area in which we will find that it isn't too difficult for us to move. All of us know about microfilming; all of us know about subject classification, all of us know about index cards. We only need to learn how to make an index card using edge punched cards instead of 3x5 typed cards.

Other good places to visit to see automated information retrieval would be the U.S. Patent Office and the Armed Services Technical Information Service off Lee Highway in Arlington.

SOURCE DATA AUTOMATION

To get started on source data automation let's first talk about electronic typewriters, punched tape, and punched cards.

An electronic typewriter is a typewriter that will take instructions from punched tape or punched cards. It does this by means of a reading head attached to the left side of the typewriter. It is built of heavier guage steel than manual typewriters, but at the speed it types (100 to 125 words a minute) a heavier frame is needed to hold up under the vibration.

If you exclude your ten fingers and the abacus, the first calculating machine was invented by Blaise Pascal in 1642. It was a toothed wheel counter, the kind you can buy for a few dollars today. Prophetically, it was first used to help Pascal's father, who was a tax collector.

In the late 1800's, a Buffalo, New York, statistician named Herman Hollerith saw a textile-weaving machine known as the Jacquard Loom. It used a system of large punched cards to determine the weaving pattern. Hollerith developed the idea and sold the Bureau of Census the idea of using punched cards to analyze population data in the 1890 census--and the job was completed in one-third the time of the previous census.

There is a persistent story that one of Hollerith's workers asked him how large the card should be. Hollerith thought a moment, pulled a large, old-style dollar bill out of his wallet and slapped it down on the table. "That big," he said, and that big it is.

With punched cards, a man could insert vast amounts of information into a machine quickly, but the machine was still nothing but a refined version of Pascal's old calculator.

SDA emphasis and ideas are largely centered around the punch paper tape. Punch paper tape does come in different sizes. We have what is called the five channel tape, which is the most popular. This is the punch paper tape which has been used for approximately 80 to 85 years in wire communications. It was developed by a Frenchman named Badeaux back in about 1870 for the "off line" preparation of telegraphic messages. Most of you, I am sure, have seen the five channel tape at one time or another. There also is the six channel, the seven channel and eight channel tape. The difference is largely in the number of codes that you can put into the tape. You start with the five channel tape which has the possibility of 58 codes and end with the eight channel tape which has the possibility of 256 codes.

The word "codes" should not be unfamiliar to you. How many were Boy Scouts? How many have children who are Boy or Girl Scouts? Well my guess is that if you were a Boy Scout you had to learn the Morse Code. If you're the father or mother of a Girl Scout or Boy Scout, you probably have had to help teach the Morse Code. Well the Morse Code was the first attempt to put words into what the automationists call "machine language."

One of the things that I would like to warn you about is not to be scared of any SDA words, because behind all of these words is usually a concept that turns out to be quite understandable. Machine language may sound formidable, but the Morse Code doesn't--yet what is the Morse Code? It's a machine language. It was made into a machine language by the Frenchman, Badeaux, already mentioned.

Badeaux realized that if you took a piece of paper with enough rigidity that would bear up under sticking holes in it, and you drew five lines on that piece of paper, you could use the Morse code as a "common language." (This is also the principle behind Braille--raising the characters instead of punching holes.) If I had a blackboard here it would be very simple to demonstrate what Badeaux did. For A he punched a hole in the first line. For B he punched a hole on the first line and one on the second. For C he punched a hole on the first line, second line, and third line. For D, a hole on the first four lines. For E all five lines. Then when he got to F he said, "Well, I'll skip the second line," so he punched a hole on the first line and third line. And pretty soon he found out that with these five lines on this piece of paper he could encompass the entire alphabet, all ten numerals, plus most of the characters we have on typewriters. Then he realized that, if he let light shoot through those holes, he could stop and start electronic impulses. Maybe you like the word electric instead of electronic.

Now when you start talking about electric impulses you're talking about this old brain of ours. Most of the automation data processors are trying in one way or another to do some of the work that the brain does, only doing it in such a way that the machine can do it instead of human beings. With most of the work that you can reduce to electric impulses you're well on the way to doing the kind of work that the brain does. Nearly all of the messages that go in and out of the brain, whether they're smell, or tastes, sounds, or something, all of them get reduced to electric impulses.

How does this lead to SDA? Before getting more abstract, let's take a case study. The Bureau of Naval Personnel had a problem. The problem was one of error. In the preparation of the appointment document for the Reserve Officers their error rate was climbing steadily, getting worse and worse. The processing of this document occurred during the two month period, April 15 to June 15, requiring a lot of overtime, and requiring a lot of straight typing duties in order to get this document out.

The first is <u>repetitive data</u>. I have never seen an automated project that wasn't essentially built around doing the same thing over and over. On the same hand, I have never seen a large paperwork operation that didn't have a fair amount of repetitive data connected with it. If you take me to any big letter writing operation, I'll show you a lot of letters that are quite similar. In fact, that's how we get form and guide letters, isn't it? There is enough repetitive data that we could make form letters or guide letters to handle the data.

Well let's talk a little bit about guide letters, because probably the easiest kind of source data automation to understand is in the area of guide letters. There are times when I don't want to send you a form letter. It may seem to be bad public relations. If I want to send out the same letter day after day, why should my girl type the same letter day after day? All I have to do is get one of these electronic typewriters, punch the message in a piece of tape, and the machine will do most of the work.

In this connection let me give you another Navy case study. It is a job that must be done in connection with the Naval Academy. The Bureau of Naval Personnel must use the machine in that case as an automatic letter writer; they write to Congress two or three times a year in connection with Naval Academy affairs. In writing these letters they actually have two constants, the letter to all five hundred and thirty-six Congressmen and Senators is the same and is on a piece of looped paper tape. Since the names and addresses of the Congressmen and Senators is the same for at least two years, their names and addresses are punched into another piece of tape. These two tapes are run together and they alternate back and forth. The letter tape puts in the date and switches over to the address tape which reads "Congressman Joe Jones, House Office Building, Washington 25, D.C., Dear Congressman Jones:" and then switches back to the letter tape to complete the writing of the letter. Thus, switching back and forth, it will write all five hundred and thirty-six letters fully automatically.

This is the simplest kind of source data automation to understand. Repetitive letters can be put on tape and tape can operate the typewriter. The only trouble is that the typewriter moves so fast that it takes enough business to keep three typewriters going before you can really tie up one girl full-time. One girl operating 3 electronic typewriters can do about 150 letters a day. Now can you tell me any other way that one girl can type 150 letters a day? This is the great payoff on mechanization or automation. It does work so much faster that we get the unit cost down to the place where the unit cost amortizes the equipment very rapidly.

So our problem is how do we recognize repetitive data? Now we're really over in the management analysis field. I've often thought that it's about time that we records people had a course, a two or three day course, on how to recognize repetitive data. One man will walk through

a paperwork operation and won't see repetitive data. Another man will walk through it and see repetitive data and a year later an automation project will be on the way. Why is it the first man didn't see it?

Probably the first thing you and I encounter when we start interviewing people, or looking at paperwork, is that no one will admit that his work is repetitive. That sounds like a GS-2 job. He thinks, "repetitive sounds like a synonym for routine, and Heaven knows I'm not doing routine work. Maybe these other people in the office are, but not little ole me." So immediately we start running into, subconsciously perhaps, a "snow" job. And it's very easy to get thrown off.

We may walk up to a girl who is spending eight hours a day typing vouchers, she'll swear that there is nothing repetitive about her work. Every voucher is for a different amount. It's made out to a different person. It's for a different reason. "What's repetitive about that?" she says.

It takes analytical skill of high quality to recognize repetitive data. In the time that you allowed me this afternoon, I don't have time to explore this much farther. Yet sometime, as I say, I think it would be to our mutual profit to have just a 3-day session from morning to night for three consecutive days on "How do I Fight My Way Through a Paperwork Operation So That I Can Recognize Repetitive Data?"

After we recognize repetitive data, then, of course, the real work starts. Repetitive data usually will be somewhere between 70% of the work that is being done and maybe as high as 85. I haven't seen very many operations where it ran much higher than 85, which means that we still have between 30 and 15% of the operation that's going to have to be on some kind of a manual basis.

The fun begins if the work flow in a unit that we're looking at is divided between three branches. The minute we pull out the repetitive work and decide to automate that and leave the non-repetitive to be done manually, we may have an organizational problem on our hands. If they don't defeat us on recognizing repetitive data, they're going to lick us on any organizational change. Yet often after we recognize repetitive data, the analysis effort becomes how can we extract it from tne procedure so that it does become separable and can be handled on some kind of a separable basis?

I'm sure I'm not saying anything that is foreign to work you've done. I mean, whether or not you've ever done it quite this way, this is something that records managers can do. Records managers can be trained to recognize repetitive data. As a matter of fact, you've trained yousevles to recognize repetitive data. What is a file system? You set up a cateogry under which documentary material will be placed. Give me a files classification, somebody. All right, "Accounting 5." The minute you've said "Accounting 5," you've already decided that there

is some data that is sufficiently alike that it can be pulled out from all of the other data and put in a folder. So you already know how to recognize repetitive data.

Maybe you've never quite thought of the thing that you were doing as segregating repetitive data. That's why I say we have to keep fighting our way all the time through the words that SDA uses. A lot of the words that automationists use are those describing things that you have been doing all of your life. Where they use a five-dollar word to describe it, you've been describing it with a ten-cent word. Of course they get the five-dollar salary, and you get the ten-cent salary.

The other component, besides repetitive data, in any automation process is volume. Here again you must engage in management analysis. How can you get that volume? Here I think is where automation is going to completely change the face of the Federal Government in the next 50 years. Because to get the volume that we need to automate we are going to be faced with one reorganization after another. If I can't get the volume I need to automate by having 3,000 county offices, by golly, I'll have 10 area offices. If I can't get the volume I need through 7 area offices, I'll abolish my 7 area offices and set up one national office somewhere, as FHA has done for accounting at St. Louis. And then I'll get the volume I need to automate. So people are constantly now looking at where they can get the volume. Have I splintered? Have I thrown my work into so many little pieces and so many different places that I've lost the possibilities of the volume I need to automate? This is why you will be combining the USDA payroll offices in New Orleans. So one of the questions we have to ask ourselves is, of course, how much volume does it take? How much volume does it take, let's say, of repetitive correspondence before you buy an electronic typewriter? Does it pay if you're only going to do 30 repetitive letters a day, or do you have to do 130 a day before it pays? This takes a little bit of figuring.

Now let's for a moment re-assess some of the elements that make up SDA. When I described the Bureau of Personnel application, I talked about punch paper tape. I also used the words "machine language." We have tried to explain it as recording media that (a) comprehends the 26 letters of the alphabet, the ten decimal digits and a minimum of special characters and functions and (b) has the ability to mechanize the transfer of information directly between office machines, manufactured by different suppliers, performing the four basic office functions of writing, arithmetic, addressing, and wire transmission.

As you learn more about punched paper tape and electronic typewriters, you will soon develop a little different vocabulary. You will start talking to your friends and say something like, "program tape," "customer tape," "vendor tape," "item tape," and before you know it you will have an argument on your hands because you are talking about something and your friend is listening on a different channel. Let us classify some of these tapes. The program tape is a tape containing only functional

codes. Program tape does only one thing, it operates the machine. It spaces the form, it performs the carriage return function, the tabulating; these types of codes are in what is called the program tape. The codes in a program tape perform no writing operation whatsoever. They just operate the machine.

The other tape that we have listed here is commonly referred to as the master tape. Sometimes, to make it confusing, it's also called the master program tape. This tape will contain not only the functional code that we find in the program tape, but it will also contain codes that represent a certain data. We will put into this particular tape that information which is repetitive. Let's think back to our manual operation of the requisitioning cycle. You would have in a tape of this nature the vendor's name and address information, and any other constant information pertaining to you or the vendor. The purpose of the master program tape is to get the constant information into tape form so that the machine can operate automatically.

Item tape is essentially the same as the master tape; however, an item tape will have but one item coded in it. If you are ordering bolts or screws you would have the information concerning those bolts or those screws frozen into this particular item tape. So every time you ordered or reordered that particular item you would use that tape to create the information automatically.

The other class of tape is know as the by-product tape and here is our payoff area. The by-product tape has two subdivisions known as a composite tape by-product or select by-product tape. When you are typing a requisition, for example, and you want to type the purchase order or the invitation to bid from it, you could create,at the same time that you are typing up the requisition, a tape that would have all the information on it and this we call a composite tape. It contains everything that's written on the form. If you only wanted that information to go into our punch card file, we would only then come up with selective information on our by-product tape.

Now we have talked about tape, trying to define and clear up some of the things that happen as far as tape is concerned. Let's talk for a moment about the machines or the "hardware" that is used in reading tape and producing tape. The Navy has published and NARS distributes a booklet which briefly gives us an idea of what type of equipment is available.

We talked before in terms of accomplishing certain basic office functions. We have already mentioned the equipment that does the writing function. We can perform arithmetic through the use of tape or we can come up with our addressing plates, or we can wire transmit, which has been done for many years by using tape. We can also wire transmit using punch cards. We also have what is known as translators or converters. These machines give our system the real flexibility. They can convert

our punch paper tape to our punch cards or they can convert our punch cards to punch paper tape giving us a greater opportunity to apply our automated techniques.

The oldest writing machine that has been able to read tape and punch tape at the same time that it types out a hard copy is the Friden Flexowriter. In addition, because people are never satisfied with having one basic machine--they always want a little bit more--you can add to this machine and come up with an additional tape reader which can read tape, or you might want an additional tape punch which can punch out an additional tape. It also can be connected to a key punch and you can produce a punch card at the same time that you are producing your form.

This is a very flexible machine. The machine operates automatically at about a hundred to a hundred and twenty-five words per minute. The price is approximately three thousand dollars for the basic machine.

Then there is the Remington Rand Synchro-tape typewriter which is a typewriter cable connected to tape punch and reader. This machine can read punch tape and it can produce punch paper tape. It essentially does the same type of job that the Flexowriter can. Still another machine that is in this writing category is the Underwood Dataflow.

You should know that an electronic adding machine can punch out a punch paper tape at the same time that it produces a conventional adding machine tape. Practically everyone of the adding machine companies make a machine of this nature. The approximate cost of this machine is fifteen hundred dollars. It is a manual input machine that you feed just like you do any other adding machine but you can produce punch paper tape along with the conventional adding machine tape. You might say, "What the heck do you need punch paper tape for in an adding machine, it's confusing enough to work from the readily available adding machine tape."

An application that I saw, not too long ago, illustrating the value of this rather simple device is one Western Union uses to centralize their payroll. They prepare their weekly payroll for one of their branch offices with one of these machines. They arrange all of the numerical information (employees number, the hours worked, the overtime, if any, the rate of pay whatever it happens to be, etc.) in a sequence and then punch it into the adding machine coming up with the punched tape and the adding machine tape at the same time. Once the whole payroll has been run off and been completed they then take the tape and put it into one of their teletype sets and transmit this tape information to their New York Office.

It is received in the New York office on tape and they take this particular tape and put it into what is known as the tape card converter, converting all this information into their weekly payroll deck of cards.

From that point on they go into a conventional payroll mechanized operation. After they have matched with the master cards, they then will come up with the card that represents the weekly pay for the employee in the branch office. This card is converted to punch paper tape. The punch paper tape is fed back into the teletype machine and the branch office receives, not by tape, but in check form. The checks are signed, torn off and handed out to the employees. No worry about mail being late and everybody is very happy that they received their checks on time. I don't know the savings on this system but I hear that they are quite substantial.

Let's talk for a moment about the tape to card converter. There is an IBM tape to card converter that does just what its name implies. I've heard conflicting figures as to the amount of cards it can turn out. I've heard that it can replace from three to seven key punch operators. But, in any event, you will find that by being able to convert directly from tape into cards you do not involve another manual operation. The rental of this machine is approximately $165 a month. The card to tape converter is, of course, the reverse of the tape to card converter. It's made by every one of the machine companies that manufacture punch card systems.

The other equipment we have here are the standard teletype machines, which have been available for many years. These machines run from 60 to 100 words a minute and, of course, it would be very difficult to try to price this out and tell you how much they cost. But, it is a relatively inexpensive system if speed is a factor.

Clearly, doing any SDA analysis puts us in the survey conducting business. This has been my experience ever since I've been in paperwork management. Find the man with a paperwork problem. Sit down and spend enough time with him so that you really understand what his problem is. This is often why it takes three, four, five, six months to make a survey. This is one of the reasons why I keep telling agency heads, don't load down your records manager with so many day-to-day routine jobs that he can't peel himself off for a five months survey. You're not going to automate any big paperwork problem unless you can devote many months to it. It takes months to prepare flow charts, for you have to know to the last detail what's being done.

AUTOMATIC DATA PROCESSING

Imagine yourself a member of the Board of Directors of a large corporation while a confident young man asks you to appropriate company funds for a machine that can use "Monte Carlo" techniques, a machine that could (1) tell you which of 3,000 general patients in a hospital is likely to have a heart attack tomorrow, (2) predict which of 17 baseball players on a team is most likely to drive in the winning run in the last inning of a tie game, (3) tell a petroleum company executive whether he

should buy a tanker of Iranian oil at today's price or step up production in the company's own oil fields in Venezuela; then tell him what percentage should be refined into gasoline, or diesel fuel, or heating fuel, after the petroleum is received; then actually operate the valves in the refinery to get the most economical production.

Computers are available today that will do all these things: about 5,000 of them were in use at the beginning of 1961; an additional 6,500 will be delivered this year by 20 companies that are in the computer manufacturing business.

Computers really begin to shine when they handle extremely complex mathematical equations. One class of problems has thousands of solutions, and the computer will run through thousands of these calculations quickly and "narrow in" on the right one. This is the kind of problem that popular science writers refer to when they say the machine solved a problem in four hours that would take 400 mathematicians 400 years to do.

Any mathematician who worked like a computer would be considered an idiot, because essentially the machine only adds and subtracts. For instance, if you are asked to divide 144 by 12, your either know the answer (from your childhood multiplication tables) or you use long division. A computer cannot "know" the answer unless you tell it. Instead, it blithely subtracts 12 from 144 and discovers that there is a remainder of 132. So it subtracts 12 again and discovers that there is still a remainder larger than 12. The machine goes through this maneuver 12 times and that's the answer: 12 subtracts from 144 12 times. The trick is that the machine can perform this elemental operation one million times in one second.

It is generally agreed that the difference between a calculator and a computer lies in the fact that the computer has an internal memory storage system for instructions. In other words, a true computer can calculate, store the result, compare it with other figures or instructions, then go on and calculate some more. Many designs were tried, one using electrical relays; another in England was made from the British equivalent of a child's Erector Set. But the first true electronic computer is generally acknowledged to be the ENIAC, developed at the Moore School of the University of Pennsylvania in 1946.

Like Pascal's tax calculator, ENIAC had a very practical applicaton: it was developed for the Navy to compute complex ballistic firing problems for naval guns. Other computers rapidly followed, with names like EDVAC, SEAC, WHIRLWIND, SWAC, MANIAC, ORDVAC, and ILLIAC.

The actual computing machines are referred to irreverently as "hardware," but the crown princes of this new technology are the "software" men, the "programmers" who understand the complex "language" that one must use to communicate with the machine. Software men have been struggling

to develop a common language suitable for all nations and all machines. One of the more important efforts in this field was made by a committee of representatives from the United States, France, Denmark, Holland, Germany, England, and Switzerland at a Paris meeting in 1960 to refine an international machine language known as "Algol," which promises to simplify vastly the exchange of computer programming information among programmers.

All this is fine, you say, but where does the records manager fit in? I would like to suggest two ways:

1. As an idea man
2. As a participant in a feasibility survey

Computers are chiefly used to automate paperwork. If you and I do not know our paperwork we have lost our reason for being in the jobs we hold. We should know where there is repetitive data and where volume can be found. What the computer men want is leads. Where might automation pay off? Where would it speed the processing of records? If the records manager, with his knowledge of what records are being created and what procedures are involved, can give this kind of guidance to the computer men, he will have done well.

No ADP project gets airborne, however, without a feasibility survey. Here the procedures get flow charted, scrutinized for simplification, purged of excess paperwork, the pitfalls of the unusual explored, and the data for bids from manufacturers of ADP equipment prepared. Since any feasibility survey must inevitably concern itself with the highways and biways over which documentation moves, it seems to me that this is an area in which the records manager can be peculiarly helpful.

In any event, at the moment, at least, this is how I see the role of the records manager and data processing. The role you have, I think, pretty much depends upon you yourself, whether or not you want to make a role for yourself. We're in the realm of ideas. There is no monopoly of ideas, ideas are almost always welcome. They're certainly always needed in SDA and ADP, and if you are able to peel yourself off for a long enough period of time to really watch and understand and look at a paperwork operation then I think you'll find the ideas coming to you.

Thanks for having me over today.

Minutes of USDA Records Management Council Meeting
Held on October 11, 1961, at 2:00 P.M.
Room 3115-S

Presiding: Jack L. Flowers (AMS)

Members and guests present:

Mildred K. O'Brien	- ARS	Royce Newcomb	-AMS
Peter Doyle	- OAM	Joseph Brandt	-AMS
H. Perry	- ASCS	Larry Tornese	-OAM
C. G. Christianson	- ASCS	William W. Brown	-ARS
Howard Hayden	- FS	C. E. Johnson	-ARS
W. Hillenbrand	- MOS	Virginia W. Thatcher	-OAM
George Klippstein	- OGC	Van Milton	-FES
L. E. Roberts	- OGC	P. R. Crutchfield	-FHA
Clyde E. Wetherington	- ASCS	L. Venafra	-ARS
James H. Austin	- P&O	Eva Snyder	-AMS
Dorathea E. Wallner	- REA	H. Rawcliffe	-ASCS
Joseph K. Allison	- REA	Margaret M. Pittman	-AMS
W. E. Bawcombe	- OGC	Edward J. Morse	-Inf.
F. A. Fraley	- AMS	Lois Schroder	-AMS
Ira Kellogg	- AMS	Margaret S. Bryant	-Lib.
L. T. Milbourn	- AMS	Chet Adell	-ASCS
C. S. Glynn	- FHA	William P. Jones	-ASCS
Gardner Walker	- FHA	Sara L. Cohran	-ASCS
C. H. Van Natta	- FHA	C. V. Trowbridge	-FCIC
Nick Allen	- FHA	George E. Sudduth	-ASCS
Jack L. Flowers	- AMS	Don Taft	-MOS
John E. Hamer	- FS	John Smiroldo	-FCS
Bill Clarke	- FS	Harold D. Walker	-FCS
A. Lyree Phillips	- Lib.	Leonard E. Vaughan	-MOS
		H. Grambs	-AMS

Mr. R. H. Eckenbach, Management Analyst, National Archives and Records Service, spoke on "What is Source Data Automation (SDA)?"

Mr. Eckenbach presented a case study of an actual application of the SDA technique. The case he cited was developed around the Friden Flexowriter. A combination motion picture and slide device was used to illustrate his remarks.

The company in question completely automated its paperwork from the time an order is written by a salesman in the customer's place of business until the order is delivered and billed.

Salesmen dictate the orders by telephone into dictating equipment. A typist listens to the dictated message. She withdraws the appropriate 4" edge punched tape with the customer's name, address and other pertinent information. For each item ordered, another edge punched tape is fed into the automatic typewriter. As the invoice is typed automatically, a by-product tape is prepared. The by-product tape can be utilized for inventory analysis, sales analysis, salesmen's commissions, and other reports deemed necessary by the management.

In summary, the speaker stated -- Source data automation (SDA) is aimed at capturing data in a machine language such as punched paper tape or punched cards and then processing the data from machine to machine in place of doing it manually - person to person.

file copy

Minutes of USDA Records Management Council Meeting

Held on March 14, 1962, at 2:00 p.m.
Room 3056-S

Wednesday afternoon, March 14, 1962, 2 p.m. Jack Flowers of AMS gave a 25 minute presentation on "How Do You Train People In Records Management?" Mr. Flowers explained the method used by the AMS Records and Communications Branch to reach Divisional employees through liaison with Division Administrative officers. Mr. Flowers then talked about the AMS training program in records maintenance and demonstrated the training technique for records classification. Much interest was aroused over the new handbook, "AMS Records Handbook", which was published by Mr. Flowers' branch. This handbook may be obtained by writing a short memorandum asking for it if it is wanted.

P. J. Doyle reported on the Area Equipment Committee Meetings in Denver and St. Louis. He said that this was the first time Records Management had a part on the program. A panel discussion showed much interest in a possible consolidation of records management services in the field. Mr. Doyle also presented the Non-Records Workshop at the Area Equipment Committee Meetings. This was received favorably. Mr. Doyle offered to present the Non-Records Workshop to the USDA Records Council at any time.

The agenda for the next meeting will be an open question-and-answer period. All persons attending should bring their questions and exhibits to the meeting and every one contribute something.

Over 40 persons attended the meeting.

MEETING OF APRIL 18, 1962 USDA RECORDS MANAGEMENT COUNCIL

My talking to this group on classification schemes reminds me of the farmer who told his son to go out back of the barn with him so he could talk to him about the facts of life--and the boy said "OK Pa, what do you want to know?"

I think we should hold Harold Rawcliffe accountable because he got my boss, Gardner Walker, to put the bee on me to talk about An Integrated Manual Filing System. Frankly, that is somewhat confusing to me, because integrate in Latin means "to swallow up" or "lose identity." To say we, in FHA Records Management, have lost our identity is like admitting the "egg swallowed the chicken."

At this point I would like to see a show of hands of those of you who:

1. Have never developed or helped develop an agency directives or filing scheme.

2. Now let's see the hands of those who have developed or helped develop an agency directives or filing scheme.

3. Now let's see the hands of those who have supervised the installation of such a system in one or more division or field offices.

Well, let's see what we can do about closing this "gap." (We will hold questions till after presentation)

First, and as a place to work from, it can be said that a theoretical definition of a paperwork common use classification system - embodies the concept of being: 1. Boundless, 2. Equivalent to or a part of itself.

Therefore, for the purpose of this discussion, let us say we are talking about a paperwork master classification system.

Such a definition provides us with a key to the question of - just what can a master classification plan do for us. If we "brain-stormed" this line of thought, we would come up with use possibilities, such as:

1. for classifying and coding directives
2. for classifying and numbering forms and reports
3. for classifying and coding official subject files
4. for classifying and coding jobs
5. for classifying and coding cost accounting projects, etc.

Now, just why is all this possible? Upon close analysis, we find that down through man's history, the recording of man's history has been based on the use of symbols -- the grandfather of all classification schemes.

Why has this been so? Webster defines symbols as:

1. A sign by which one knows or infers a thing, or
2. To throw together, or as
3. In writing or printing, the use of a character instead of a word or phrase, or
4. To represent operations - activities - etc.

In the sands of time, through man's creative and innovative ability, he discovered and adopted three types of symbols -- namely: numbers, letters, and impulses (or characters)

This gives us the foundation of all paperwork classification and coding schemes man had devised and used to date. Such as:

1. The "to & from" system
2. The numeric system
3. The alphabetical system
4. The letter-number or number-letter combination methods, such as those labeled "Subject-numeric" or "Numeric-subject."
5. Identification systems for directives, forms, work projects, cost accounting, etc.

We now come to the $64 question. Will a master classification system work. Across the board, for files, directives, forms, and reports? You are assured it will work. My first research and exploratory work on this was done in 1948 - 49.

In 1959, we inaugaurated our directives - as well as our subject files at the County level, under one master plan. In August of 1960, we brought our forms under this same plan.

Also, in 1960, the Forest Service made their master plan operational for their directives and files, just 6 months after FHA had made its master plan operational.

If you recall Don Taft, then with Forest Service, gave us a talk on how they went about it. Forest Service calls it "A Manual-Coordinated File System" and all paper keeping shops throughout the Forest Service system use the plan. From Headquarters down to the one man Ranger Station.

(Hold up copy for audience's view)
Hand outs were then discussed.

HERE IS THE WAY WE PUT THE MASTER CLASSIFICATION CONCEPT TO USE IN FHA

Pass out:
1. 021.1 Exhibit A
2. Organization Chart --- 2680 County Servicing Locations
   1524 County Locations Keeping records
3. Page 9 of 151.1 (County)
4. Form 451-2, "Remittance Summary"

I'm sure most of you were here at our last meeting. At that time, our Chairman, Jack Flowers, gave us a visual demonstration on how to go about unscrambling and putting together in a workable order, a group of subjects. Now let's approach the same thing from an entirely different angle.

Putting the Form (451-1) aside, let's compare the other three "handouts". You will observe they have one outstanding common characteristic, that of a "Family Tree" I'm sure you are aware a "Family Tree" is a kindred group.

Now, in pursuing this line of thought, let's concentrate on the subject chart and the filing plan (Page 9 of 151.1). For the sake of discussion, we will say this subject chart (021) represents a clan, like the Irish. But, we cannot trace the relationship between each of the 5 family trees shown on this chart. That is the way it should be between primary subject areas. But not so within a given primary subject. Why? Because in this business of paperwork classification schemes, the factor of degree of relationship is of major importance.

Now let's take just one of these family trees for example: "Program Operations." In this particular "subject family tree" we can trace the relationship between the various family members. In fact, the exact degree of relationship is established to the third degree of consanguinity. Also, at this point, we have applied the theoretical basis of a master classification plan. Namely: Without bounds and equivalent to having some proper part of itself, and the use of symbols.

How does one put numbers together to show the desired degree of relationship? For this you could apply one of the unitized systems. In the case of FHA, we used the "unit of tens" and the "stair step" methods.

We now need to make a different comparison of relationship. Now in comparing the headings on the file plan (151.1 Sheet 9) with the headings on the subject chart, you will observe another feature. You can see we applied a lot of "contraction" in determining file

headings for the file plan. In fact, the total procedure for our county office operational files required only 6 sheets of paper, and covers every thing from the "cradle to the grave" such as:

1. How the system operates
2. Conditions and standards to be met for additions and deletions of file headings
3. Standards and setups for determining what paper goes under what file heading
4. When and under what conditions the records under each file heading will be destroyed, or included.

By the way, we do not prepare an annual deck of folders. Instead, we operate on a "revolving" deck basis.

* * * * * * * * * * * * *

An illuminating question and answer period followed Mr. Allen's talk. Next, there was a lengthy and lively open discussion of the biennial records holding report. The report is due to be submitted this coming summer.

It was announced by Mr. Flowers that the yearly election of officers for the next council year would take place next month, followed by a social hour.

The date and time will be announced later.

Nineteen members of the council attended the meeting.

UNITED STATES DEPARTMENT OF AGRICULTURE

Records Management Council Meeting, Election of Officers
May 16, 1962 - 3:00 pm - Rm 3056 So.

Meeting was opened by the Chairman, Jack Flowers of AMS, and announcements were made as follows:

-- That Mr. Doyle of Plant and Operations was nominated as a candidate for the IRAC Steering Committee.

-- That the Records Holdings Reports are due this year as of June 30. Standard Form 136, Biennial Summary of Records Holdings, is available in the Office of Plant and Operations. If forms are needed, please call xtn. 7231.

-- Records Disposition Workshops are being held at 7th and D Streets, SW, by GSA in Region 3. Contacts are made directly between USDA Agencies and Region 3.

-- The Records Management Division has been established in P&O. No Division Chief has been named as yet.

-- Mr. Doyle proposed that Federal Records Center storage boxes be stored in the Central Supply Section and Requisition be made for them as for any other supply item. The boxes would still be available without cost. No decision was reached.

-- It was stated that the policy has been for the Records Council to adjourn for the summer months. However, since the air-conditioning has been installed, it might be well to continue the meetings. The new Council Chairman will decide this point.

-- A card was sent to Nuel Hurtick from the Records Council. He had been injured in a car accident.

The annual election was then held. Elected officers for the new year are as follows:

Oneta M. Bear, FAS and Elmo Bryan, B&F - Steering Committee
Harold Walker, FCS - Chairman   John Hamer, FS - Vice Chairman

Pete Doyle will be the P&O representative on the Steering Committee.

Continuing members of the Steering Committee from 1961 - 62 are Catherine S. Glynn, FHA and William H. Hillenbrand, MOS.
Don Taft - MOS

Coffee, punch, and cookies were served to the nineteen members who attended the May 16 Council Meeting.

Meeting adjourned 3:50 p.m. Attendance as follows:

Jack L. Flowers - AMS ✓	Gordon Sproles - FHA ✓
C. E. Wylie - P&O ✓	J. H. Austin - P&O ✓
P. J. Doyle - P&O ✓	Mildred K. O'Brien - ARS ✓
E. B. Bryan - B&F ✓	D. E. Taft - MOS ✓
Doris E. Wood - CEA ✓	W. B. Wiswell - MOS ✓
William W. Brown - ARS ✓	W. Hillenbrand - MOS ✓
Val Trowbridge - FCIC ✓	Catherine Glynn - FHA ✓
Gardner Walker - FHA ✓	John J. Smiroldo - FCS ✓
P. R. Crutchfield - FHA ✓	Harold D. Walker - FCS ✓

USDA RECORDS MANAGEMENT COUNCIL

June 20, 1962 - Room 509-A
C. E. Wylie-Speaker

The meeting was called to order at 2:00 p.m. by the Vice-Chairman, John Hamer, FS. The following were in attendance:

John E. Hamer - FS	John L. Maher - MOS
Jack L. Flowers - AMS	John T. Myers - MOS
C. E. Wylie - OP&O	H. Rawcliffe - ASCS
P. J. Doyle - OP&O	Mildred O'Brien - ARS
James H. Austin - OP&O	Mary Lee Butler - CEA
D. E. Taft - MOS	Zelma H. Margelos - INF.
W. Hillenbrand - MOS	A. Lyree Phillips - LIB.
Joseph K. Allison - REA	Nick Allen - FHA
Mardean R. Miller - SCS	Gordon Sproles - FHA
J. Norman Stone - SCS	Catherine S. Glynn - FHA
V. Trowbridge - FCIC	L. E. Roberts - OGC
Theodore Pitts - MOS	

Announcements were made by P. J. Doyle, OP&O, as follows:

-- Records center boxes would be stored in the Central Supply Section and could be received by requisitioning them on Form AD-14, Request for Supplies, under Stock No. 8115-290-3379. There would be no charge for the boxes.

-- The Welfare Association asked that space be made available in the 6th wing depository for a dressing room. Shelving has been transferred to the North end of the Depository. Rows 63 - 69 will be relocated elsewhere in the Depository.

-- Records officers were asked to become familiar with the retention and transfer of site-audited fiscal records, particularly payroll records, in order to be able to guide fiscal employees. Mr. Doyle has lately noticed incorrect disposition of site-audited fiscal records in certain agencies.

-- Agencies were asked to show their preference between using a charge-out folder for case files and a plain folder with a charge-out card placed in it. There was a slight preference shown for the charge-out folder.

The announcements were followed by comments of James H. Austin, Chief, Secretary's Records Section on the new procedures for handling jacketed correspondence. Mr. Austin's remarks follow:

BACKGROUND

As you know, the Secretary's Office has been handling a heavy volume of outgoing mail, considering the size of its staff. Some officials, properly so, have expressed concern over being certain that letters had been properly cleared, and that they understood adequately the contents of the letters. Also considerable concern has been expressed over the volume to be signed. Now, officials want to sign policy matter correspondence, and also have a clear understanding of it when they do sign, so they need more time for their consideration of this type of material. Therefore, more of the detailed, non-policy letters must be passed to other high officials of the Department. By delegation, agency heads may speak for the Secretary in their respective areas of operations, so certain logical steps have now been taken to alleviate the situation.

First, the Office of Budget and Finance prepared what became Secretary's Memorandum No. 1500, dated May 23, 1962. This deals with clearance of Secretary's Memoranda, official reports and similar documents of major program significance. Actually, the clearance procedure outlined in this memo is not a radical departure from what we have had all along. From now on, a little more care will be exercised to see that B&F and OGC clear all material they should prior to signature.

Then followed the memo of May 29th on referral of Secretarial correspondence, a memo of more direct concern to this group. Frankly, as far as we were concerned, we would have preferred that more detail had appeared in that memo. However, the Secretary's Office did not want to go into detail, partly because some of it is still being worked out.

AGENCY INTEREST AND APPLICATION

You here today of course are concerned primarily with how all this affects agency procedures and operations. We in Plant and Operations have also been concerned that agencies receive prompt and adequate guidance. As quickly as we could clear it, we issued P&O Memo No. 60, dated June 12th, to try and set forth some detail. Pete Doyle and I will be going over the Correspondence Manual with a view to supplementing that document. Incidentally, I would appreciate receiving a copy of any agency implementing instructions, since it might help us see your problems a little more clearly, and perhaps be of assistance in some cases.

Well, what are the basic effects on the agencies?

1. You will be receiving a larger portion of Secretary's mail for direct reply. Most of the change will be reflected in Congressional correspondence, primarily that which transmits constituents' letters. Over the last week we noticed that the number of pink jackets we affixed dropped 75% below what it would have been under the old procedures! This is a staggering percentage, though remember we are dealing with a relatively small volume of mail.

May I say finally that it is up to the agencies to make this thing work. Let's hope that it does work, because it is a very logical approach to the problem, and we feel it is good correspondence management. We here today cannot on our own make the system. Unfortunately, we could break it, and we don't want to do that. We can simply just do our part to make it work, and I am sure we all will.

This little talk has, I am afraid, perhaps not been too informative, but maybe we might be able to answer a question or two, if anybody has one.

Question -- Whose responsibility is it to see that proper file copies are made up on rewritten letters?

> The rewriting agency is responsible. If any particular agency or office is not fulfilling its obligation in this regard, let us know and we will try to get it straightened out.

Question -- Mr. Austin, you maintain no control of our agency pink jackets. What is happening to them?

> They cause no particular problem. If they are routed all the way as mentioned in the talk, there is rarely any difficulty in locating them.

Question -- Sometimes we don't get our file copies back. What happens to them?

> We route all file copies back to the office shown as the originator on the file copies. I think this problem goes back to that question we just had on rewrites. Some rewriting agencies are not properly indicating the originating agency.

Question -- In routing a jacket, generally from an agency, would we route it all the way?

> Route it in accordance with the clearances needed to the fullest extent possible. The last man on the list should be the Correspondence Review Officer in the Secretary's Office.

Question -- How is the mail routed to us? Who decides what mail gets a pink jacket affixed?

> We do that in the Secretary's Records Section under criteria established by the Secretary's Office.

2. As a result of these changes, many agencies may need to review their internal control procedures. The memo to Heads of Agencies contemplates that the agency head will sign replies. Therefore, each agency will want to be assured that the agency head is not called on to account for lost or delayed correspondence. Keep a good record! Even though we no longer control much of this correspondence, we keep a record on where we send it just the same.

3. Agencies will have to make a more careful review of proposed replies, because the burden falls on the agencies to determine on their own if certain replies need signature in the Secretary's Office.

PROCEDURAL CHANGES

There are a few procedural changes and considerations in which the agencies are interested:

1. Agencies must supply to the Secretary's Records Section one white copy of each Congressional reply, only in the case of mail originally referred from the Secretary's Office. This is applicable only to Congressional correspondence. Incidentally, we will, at least for the present, continue to supply an extra photocopy of incoming Congressional material for agency use.

2. It is anticipated that a greater volume of agency pink jackets will be created. These are not controlled or recorded at the Department level during their pending status. Agencies should see that jackets are routed to all other agencies and staff offices for necessary clearances prior to routing to the Correspondence Review Officer. On their controls, agencies should note the routing, in case a pending agency jacket ever needs to be traced. This has been a flaw in the system all along.

3. Agencies should establish procedures to assure adequate clearance with other agencies and staff offices of material signed by their own agency heads. This has been done in the past to varying degrees. Under the new procedure it now takes on a little more importance.

CONCLUSION

As indicated in P&O Memo 60, both the Correspondence Review Officer and the Secretary's Records Section will be glad to consult with the agencies on matters relating to these procedures. We welcome any inquiries and suggestions.

Question -- Is all of this going to be combined into Department procedure?

> To the fullest extent possible. Things like routing, extra copies, etc., will be included. Of course, there are some procedures related only to specific agencies or groups which are not Department-wide. It is not practical nor desirable to include those in Department procedures.

Question -- Would it be possible to establish a procedure requiring that jackets move through specified agency control points?

> Yes, we would encourage such a procedure. We also plan to issue a list of agency control points.

The following is a copy of the talk given by Mr. C. E. Wylie.

****

From April 30 thru May 4 (5 days) Pete Doyle and I represented the Department at a Federal Records Management Officers Conference at Gaithersburg, Maryland.

Altogether, twenty-five Federal Records Managers, including Everette Alldredge, the Assistant Archivist and Ed Johnson, Chief of the Program Promotion Branch, NARS, participated in the Conference. In addition, there were several observers from GSA at various sessions.

The purpose of the Conference was to "explore the latest developments and methods in the records management field, and to consider how best to use them in improving the efficiency and effectiveness of Federal Operations and activities." NARS has often solicited the views of records managers on its program activities, but never in so thorough a fashion and with such a broad involvement of top administrative interest and experience.

It was a very good conference - instructive and enjoyable. The Conference was significant in a number of ways to Records Management Officers and Paperwork Management Officers throughout Government. I am not going to report on the entire Conference, but merely will highlight what I personally saw (and what I feel you would regard) as most significant.

(1) Significance of the Event. To me, the first item of significance was the Conference, itself. It was the first of its kind, and if conferees have their way, there will be more. What made this conference different was (a) the high level of talent and experience of panel members; (b) the scope and the depth of the agenda and the ensuing discussions; and (c) the "resident" or "live in" feature of attendance. Conference arrangements, including selection of topics and panel members, were the result of planning-committee effort and tremendously effective staff effort.

(2) The Quality of Panel Members. The choice of panel members and resource leaders was outstanding, inspiring and satisfying. With few exceptions they reflected considerable understanding of, and interest in, the problems of records management, and participated energetically in achieving desired Conference results. One of our strongest desires is for assurance that top management is aware of our existence, believes we are worthy, and shares in and supports our goals. Any gap in this awareness that existed prior to their participation, surely was narrowed as the Conference proceeded.

One of the truly satisfying things about the Conference was the feeling that we were involving an important segment of top management in our problems, in a substantial way. Henry Herrell, Assistant Administrator for Management, A.M.S., acknowledged this by-product of the Conference.

Resource leaders and panel members represented some of the ablest and best known administrators in Government and generally performed in an outstanding manner.

It was the job of the Resource leader to introduce each topic with a presentation of his views or thesis in a "keynote" talk. Panel members would follow, individually, with views of their own. Then the topic would be opened for general discussion, and for questioning of panel members by Conferees. These discussions were enlightening and contributed substantially to achievement of Conference objectives.

(3) The Nature of the Agenda. Like most agendas, the topics were designed to provide focal points and boundaries for discussion. Participants were no great respecters of these boundaries, and Mr. Alldredge generally allowed the fire to burn wherever the wood was driest -- in other words, where there was interest. The Conference program listed the following topics:

1. CONTENT AND SCOPE OF RECORDS MANAGEMENT IN THE FEDERAL GOVERNMENT.
2. ORGANIZING FOR MANAGING PAPERWORK.
3. AGENCY PROGRAM EFFECTIVENESS.
4. THE SYSTEMS PERSPECTIVE IN AGENCY PAPERWORK MANAGEMENT.
5. NEW CONCEPTS FOR THE AGENCY RECORDS RETIREMENT PROGRAM.
6. THE AGENCY VITAL RECORDS PROGRAM.
7. DOCUMENT STORAGE AND RETRIEVAL.
8. THE ROLE OF THE RECORDS MANAGER IN ADP.
9. MANAGEMENT RESPONSIBILITIES OF CENTRAL STAFF AGENCIES.
10. EVALUATING PRESENT PROGRAM AUTHORITIES AND RESPONSIBILITIES

Every one of these topics captured our interest. I can't possibly report on all of them, but I will comment briefly on several that I know you are interested in.

(4) Highlights of Interst and Discussion.

A. CONTENT AND SCOPE OF RECORDS MANAGEMENT IN THE FEDERAL GOVERNMENT.

Herb Angel, as resource leader, described the historical development and the broadening scope of the Records Management function. This led to the consideration by panel members of the appropriate components of the function and the question of what it should be called -- Records Management or Paperwork Management. John Provan, FAA, suggested "Information Management." The discussion reflected continued lack of a universal concept of the function. GSA did not press a concept. They just let managers talk and develop their interest in the subject. Herb Angel, in closing, sagely remarked, "Evolution occurs in techniques, as well as in terms." He also said - and this is good advice for us - "you must know where your agency stands in the evolution of things, and look to the future."

B. AGENCY PROGRAM EFFECTIVENESS.

Mr. Alldredge, said, "in this area of management operations, there is no report of accomplishments going forward." Examples: Number, use and cost of forms; cost trends in correspondence; the percent of records on schedule and in storage; time factors in mail handling; volume; readibility and cost of directives. He would like to see more interest generated in measurements of effectiveness, to provide administrators a means of gauging progress and making management decisions. A vast amount of information is needed by records managers.

Art Thatcher, H.H.F.A., whom many of you remember, said, "Administrators are primarily program conscious, because they have to go before Congress for money, and before the public for approval. They (administrators) are only dimly aware of the management resources that facilitate program effort. We need a means of pointing up, for our bosses, the evils in our paperwork and their cost to, and impact on, programs."

Henry Herrell, AMS, said, "Good paperwork needs:

1. A place in the sun
2. Know-how
3. Training in Records Management (top-to-bottom)
4. A body of "on-site" reference material
5. Minimum controls - Maximum assistance
6. New methods, techniques
7. The right climate

Dan Carr, SBA, said, "It would help us if someone outside would tell us how we're doing -- and tell our administrators. We need a "GSA Inspection Service."

Alldredge responded by saying that GSA recognized this desire and was now working on a backlog of requests. However, he said, agencies must do more of this for themselves. "Paperwork inefficiency is at the bottom of many of our worst program problems. We, that is, records managers, need to be in a position to advise immediately on a problem for which paperwork may be responsible.

C. THE SYSTEMS PERSPECTIVE IN AGENCY PAPERWORK MANAGEMENT.

This subject, to me, had strong implications for the central records management staff, as well as for operations staff. Discussion emphasized the importance of the "integrated systems approach" in records management. It is important not only that each functional system (forms, directives, records, etc.) be technically sound and efficient; it must be effectively related to the whole paperwork system. Bill Rapp, B/B described this as "sub-optimization," ie; "arrangement of the parts of a sub-system in a way that is good, not only for the sub-system, but for the master system." This discussion touched on the subject "are records analysts management analysts" by raising the following interesting questions:

QUESTION -- Can paperwork analysis be done without the full skills of management analysis? "YES"

Should "systems and procedures" analysts be qualified as management analysts?" "NO"

Does skill in management analysis assure skill in systems and procedures analysis? "NO"

D. THE ROLE OF THE RECORDS MANAGER IN ADP.

ADP deals basically with records. The fact that the form is changing from hard copy to magnetic tape does not alter basic problems; it merely complicates them. It also points up the need for teamwork and the utilization of all available skills. The systems and technical capabilities of the records analyst qualify him as an essential member of the ADP team. Records analysts should declare their interests and capabilities in this area. Management should utilize them. Much more is involved than mere consideration of economic and operating feasibility. There are broad, difficult areas for decision in the planning, conversion and operation of ADP, that affect not only the computer, but the whole concept of creation, storage, retrieval and disposition of records. And that is the concern of records managers.

BILL GILL, B/B, added these practical considerations:

1. Recognition that records are taking new forms.
2. Tapes are being up-dated with "unverified" data.
3. Tapes are vulnerable to damage.
4. Acceptability of tape and transceiver copy is not legally established.
5. Distrust of automated end-data.
6. A good deal of information is being transmitted over high-speed media, raising questions of accuracy.
7. Computer print-outs are not favorably regarded as source material for publication.

E. MANAGEMENT RESPONSIBILITIES OF CENTRAL STAFF OFFICES.

Bernard Boutin, Administrator of GSA, had this to say when he addressed the Conference on the last day:

> "I find myself, every day, going over records that never should have been produced.
>
> It is my conviction that if the records which are produced are the ones which should have been produced, and if the records were transferred when they should be to records centers, we could save a half-million square feet of space in the Federal Government.
>
> I hope this Conference is going to inject the necessary hormones into this program."

5. RECOMMENDATIONS TO GSA.

Conferees were divided into three teams for evening sessions. Each team was asked to develop a set of program recommendations for NARS, for 1963. Each team presented its recommendations to the entire Conference Thursday evening, preceding the last day of the Conference. Mr. Doyle and I served on a team which included Herb Leonard (GSA); Rose McGrath (H.H.F.A); Ben Gregory (T.V.A.); Bill Collins (Treasury), who was Pete's roommate; and Frank Alexander (N.A.S.A.).

Following are the recommendations which our team presented:

Leadership and Promotion

1. Furnish agencies with current information on NARS program promotion plans, as a means of stimulating agency interest and coordinating agency planning in related areas.

2. Schedule more top-level conferences, like this one, to be held each year, for appraisal of current policies and techniques, identification and study of problems, and projection of plans for future action. Such conferences are particularly effective in promoting personal and agency identification with the broad records management function. More frequent conferences of shorter duration should be considered.

3. Systematically engage the interest of top agency officials in the total records management function by keeping them informed, and by involving them, in developments of significance to them. Participation in more conferences like this one, channeling particular communications through them, and reporting important events to the press, are suggested devices.

4. Provide some philosophy and doctrine on the records manager's role in new systems applications like ADP, to promote awareness of their potentialities and usefulness in the systems appraisal and development programs of their agencies.

Standards and Regulations

1. Complete and publish Chapters 2 and 3 of Title III of the GSA Regulations on records creation and maintenance.

2. Develop and publish Vital Records Program regulations dealing with the "rights of citizens."

3. Develop and publish, for agency guidance, a set of criteria, cost and operations factors in using microfilming for records storage and disposal.

4. Develop a series of brief analysis guides for agency use in appraising effectiveness of different records management operations. List principal cost factors for each, and suggest criteria and methodology for evaluating each one.

5. Explore the feasibility fof placement of review-and-approval responsibility for public-use forms in NARS, so agencies will have a single source of direction and authority on all forms matters, except those controlled by GAO and CSC.

Services to Agencies.

1. Publish annually a description of NARS organization and services, including publications, workshops and training, and services available to field offices of agencies through GSA regional Offices.

2. Activate a total Workshop Program. Up-date and schedule existing workshops and speed completion of workshops in process of development, including the Files Operations Workshop, and the Records Management survey Workshop. Develop a Directives System Workshop.

3. Collect and publish a bibliography of significant and useful agency records management publications, such as systems descriptions, studies and reports.

5. Conduct evaluation research on office equipment common to records management operations, for identification of useful features and applications. Publish results of this research, and similar research by others, for agency guidance in acquisition and utilization of such equipment.

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File

MINUTES OF THE USDA RECORDS MANAGEMENT COUNCIL MEETING
September 19, 1962, 2:00 p.m Room 509-A

John E. Hamer, FS - Acting Chairman

ATTENDANCE

John E. Hamer - FS	Robert Shrake - OGC
C. E. Wylie - OP&O	Robert Ziepolt - OGC
P. J. Doyle - OP&O	Catherine S. Glynn - FHA
Charley Manley - FS	Fred A. Jillson - FHA
William W. Brown - ARS	Don Taft - MOS
Thomas P. Quigley - ARS	Zelma Margelos - INF
Bill Wiswell - MOS	Mildred K. O'Brien - ARS
C. G. Christianson - ASCS	A. Lyree Phillips - LIB.
H. Rawcliffe - ASCS	Oneta Bear - FAS
J. Norman Stone - SCS	Blanche M. Lauck - FAS
Lincoln F. Gallacher - SCS	C. E. Johnson - ARS
Joseph K. Allison - REA	Sally Pryor - CEA
Virginia P. Wolfersberger - REA	Mary Lee Butler - CEA
Dorathea E. Wallner - REA	A. G. Allen - FHA
W. Hillenbrand - MOS	Jack L. Flowers - AMS
Van O. Milton - FES	Charles W. Schnellbacher - AMS
L. E. Roberts - OGC	Leroy T. Milbourne - AMS
Gardner Walker - FHA	

The meeting was called to order at 2:00 p.m. by the acting Chairman, John Hamer of Forest Service. The Chairman, Harold D. Walker of FCS is on detail to MODE at New Orleans until 11/1/62.

Announcements were made by C. E. Wylie as follows:

1. Annual Conference of Agency Records Management Officers planned for 1963. (Gaithersburg, 1962). Mr. Wylie, Chairman of Agenda Committee with Louis Carrico (CIA) and Ken Falconer (VA). Opportunity for USDA agencies to help develop agenda for this important annual event.

2. Gaithersburg recommendation for a glossary of records management terms. We were asked to contribute definitions for a list of terms. We asked a number of agencies (ASCS, MOS, ARS, FHA, AMS) to help, and some very fine material already has been received.

3. Identification of records of permanent value. On September 11, we held a meeting in Mr. Mangham's office with Dr. Schellenberg, Dr. Pinkett and Dr. Lou Darter, from the Office of Records Appraisal, NARS. Agreement was reached for NARS to start its "program for identification of records of permanent value" in USDA. Will take one agency at a time. We will coordinate.

4. P&O Memorandum No. 63 on "Changes in Postal Regulations" signed September 17 covers Postage and Fees Paid (Agency Name), and minimum sizes for 1st Class, Air Mail and Third Class Mail (3 x 4¼). Only a recommended maximum of 9 x 12 inches.

5. Four Directives Improvement Workshops have been given to about 80 ASCS writers. Fifteen workshops are scheduled for about 300 writers, and ASCS is making plans to take the Workshop to the field. It is a one-day Workshop. P&O gives the half-day lecture portion; ASCS handles an afternoon practice session on actual agency directives. To date, P&O has given 12 Directives Improvement Workshops to over 200 participants. Presently scheduled workshops will reach over 400 Washington office writers.

Mr. Doyle made several announcements. They were as follows:

1. A description of the "Symposium on Office Information Retrieval." This week-long training effort is sponsored by the General Services Administration and will be presented in the National Archives Theater, October 22-26, 1962. The Symposium will acquaint those in attendance with more rapid and reliable systems for retrieving information than may be expected from conventional office filing systems.

2. The records set of press releases maintained by the Press Service, Office of Information. The press Service, OI, keeps a record set of all press releases which it makes. This set of press releases is transferred to the National Archives in five-year batches for permanent preservation. Therefore, it is not necessary for each agency to keep a record set of its press releases which the agency has issued through the Press Service, Office of Information. However, agencies will be required to maintain a set of press releases which have been issued through other outlets (field offices, for instance) than the OI Press Service. Some discussion followed this announcement. It was decided to pursue this subject further with Dr. Harold Pinkett of the National Archives and Records Service. The Council will ask Dr. Pinkett to attend the same meeting at which Dr. Ted Schellenberg will be invited to speak.

3. GSA's "Digest of Educational Programs - September 1962. Mr. Doyle exhibited this leaflet, which had not been distributed by GSA to the agencies of the Department, but only to the Records Management Division, OP&O. The leaflet will be available for viewing by anyone who is interested. It shows the various courses of instruction in the Paperwork area which are being presented during September, as well as meetings and other programs, both inside the Federal Government and outside of it.

4. Mr. Doyle said that the Records Management Division had received complaints from the Agricultural Research Service because the Central Supply Section stocked folders with reinforced edge only. The Federal Specification no longer provides for a folder without a reinforced

edge. No other agency representative at the meeting told of receiving complaints from users of the folders. Mr. Doyle recommended use of pressure-sensitive labels with the new folders, as they cannot be placed in the typewriter for direct typing of titles.

5. The Source Data Automation Workshop has been formally announced by the General Services Administration as being ready, both for field and Washington presentation. Gardner P. Walker, FHA, spoke very favorably of this workshop.

6. The figures were announced for the records holdings inventory for the Department as of June 30, 1962. The figures are shown in comparison with those of the last inventory, June 30, 1960:

LOCATION OF RECORDS	Volume of records-end of F.Y. in Cu.Ft.					
	WASHINGTON		FIELD		TOTAL	
	1962	1960	1962	1960	1962	1960
Current file rooms and offices	96,930	99,619	760,238	730,928	857,168	830,547
Staging, holding, and other storage areas	21,930	24,556	31,747	29,495	53,677	54,051
TOTAL........................	118,860	124,175	791,985	760,423	910,845	884,598

The speaker was introduced, Mr. C. E. Wylie of Plant and Operations who explained functions, Plans, etc., of the newly created Records Management Division, Office of Plant and Operations. His talk is as follows:

FUNCTIONS AND OBJECTIVES OF THE RECORDS MANAGEMENT DIVISION. This is my first appearance before the Records Management Council, since I became Chief of the Records Management Division and Records Officer for the Department. I would like to think of this occasion as inaugural in nature, for me as well as for the Council. I hope that we are both beginning a new period of usefulness and achievement. New technology and concepts in records management make it clear, also, that the period ahead will be one of challenge for records managers. I feel greatly prvileged to be a member of this group, for I have a feeling that you will achieve worthwhile results in any undertaking you set your hands to.

Let me describe, just briefly, the birth-events of the Records Management Division. On December 8, 1961 Secretary's Memo No. 1477 abolished the Office of Administrative Management, and transferred records management functions back to P&O. They had been transferred from P&O to OAM just about four years earlier. On March 12, 1962, a revised P&O Organization Chart established the Records Management Division. On July 6, 1962, I was appointed Chief of the Division. On August 7, 1962, a revision of 4AR, P&O Title of the Administrative Regulations was

issued containing in chapters 4, 5, 6, and 7 regulations governing records, directives, correspondence and forms.

The currently authorized staff consists of a Chief, two analysts and a Secretary. This group carries Departmental responsibility for the entire field of paperwork management, including records, directives, correspondence, forms, reports, and mail management other than local Departmental services. With respect to each area of responsibility, the P&O Organization Chart states that the Division:

For RECORDS: Develops and makes analyses of classification and filing systems and retention and disposition shcedules.

For DIRECTIVES: Develops standards for issuance of Departmental, staff office,, and agency procedural instructions and notices.

For CORRESPONDENCE: Makes analyses of quality, methods for preparation and review, and facilities for mail handling and dispatch.

For REPORTS: Develops procedures for examination and evaluation of existing and proposed reports other than those covered by the Federal Reports Act of 1942.

For FORMS: Makes analyses of forms and related procedure; develops in collaboration with staff offices standard Departmental forms, design standards and specifications for identification and reproduction.

The Records Management Division, at the Department level, has very broad responsibility for records management and other paperwork management activities throughout the Department. Although its interests are the same as yours, they are different in one important respect: they represent a strictly "staff", rather than operational, responsibility. One of the unfortunate concepts of staff work often is that the need for staff is less urgent than for operations. Hence, we have, today, a staff of four persons responsible for a broader paperwork management program than the eight man staff of ten years ago. This means, more than ever, that whatever real achievement we enjoy can be realized only through the teamwork and cooperation of agency personnel. The President could well have been thinking of us when he said, "Ask not what your Country can do for you; but, rather, ask what you can do for your country."

What form is the discharge of our responsibilities expected to take? According to the chart, the Division, under the heading of "POLICY AND DIRECTION exercises general responsibility for the effective management of records, reports and other related paperwork activities of the Department. Formulates policies, standards and procedures for administration of programs in these areas. Provides leadership, coordination and technical assistance to agency officials in developing records systems and other related programs for efficient management."

More specific direction is contained in the following chart text: "TRAINING: Developing and presenting training courses in records and other related paperwork areas to agency personnel.

REVIEWS: Conducting surveys of activities and programs in the above subject areas for compliance with laws and Department regulations and making evaluations and recommendations for improved operations.

LIAISON: Maintaining liaison between the Department, the National Archives and Records Service, the General Accounting Office and other Executive Departments and Independent agencies on matters relating to the Department-wide functional responsibilities of the Division."

Obviously, such a small staff cannot carry out the full range of duties that are contained in our chart text - at least not all at one time. Perhaps we will not be able to carry out very many of them at the same time. And lead-time is needed for many of them. We also need time for the strengthening and refreshing of our skills. We need to maintain a wide range of professional contacts. And we need - occasionally - to take some leave, like other humans. With these limitations, what do we consider our basic objectives, and what activities are going to get first attention?

Our basic objective is to see that the Department of Agriculture has the best possible paperwork management program, with adequate means in every agency for maintaining it.

A secondary objective is to see the "state of the art" of paperwork management raised - both in effectiveness and acceptance - to a high level of involvement in the fast growing field of systems development.

Mr. Mangham has said that he would rather have us tackle one or two things at a time, and do them well, than to have us spread ourselves ineffectively over too wide a range of activities at one time. At least half our time is consumed in general staff work, such as planning, giving technical assistance, and staff housework, including a lot of reading and documention. With our remaining half-time we hope, in the immediate future, to:

> Emphasize training in paperwork specialties. This means: bring Workshops into USDA, and encourage participation in outside workshops. Our workshop plans include Directives, Forms, Plain Letters, Files, Mail and Source Data Automation - from those presently available. We have in process, workshops on Directives System Management, Report Writing, and Non-Record Materials. We will create or exploit others, as the need arises.
>
> Develop needed paperwork standards and guidelines, for issuance as P&O Publications, including: revision of P&O Publication No. 9, "How to File and Find Records"; P&O Publication No. 10, "Records Disposition"; a Regulation Chapter on reports management, and

guidelines on report writing and other administrative writing.

Promote surveys and reviews to evaluate system and program effectiveness. Agencies will have to do much of the work. We will help develop standards and guidelines for survey and evaluation and we will monitor survey programs. Example: pending GSA program to develop standards of measurement for agency paperwork programs; pending USDA program for review of external and internal reports. P&O will make some actual system surveys.

Maintain professional associations and liaison with agency paperwork practitioners and with National Archives. There is great power and capacity for creativity and achievement in these associations and in our participation in organizations like this Council and IRAC. More constructive improvement and progress is coming out of these group efforts than is generally credited to them.

We do not promise a high level of achievement in all of these matters, but we will do our best.

In closing, I again want to emphasize how essential it is for us to work together in framing and achieving our goals. And I invite everyone of you, personally, to make your feelings and your thoughts about our mutual responsibilities known to us. It will always help us to know what you think we ought to be doing. We will do the same for you.

Bill Hillenbrand Chairman of the Steering Committee introduced a new subject to the Council, Broadening the Scope of the Records Council Activities. Mr. Hillenbrand's remarks were as follows: "When this Council was inaugurated at that time, Records Management was the all-important thing. The trend has been and is now moving towards keeping the paperwork management in one group. The Steering Committee feels that this might be the time to widen the coucnil's activities and bring in Directives, Reports, Forms and other activities engaged in paperwork management. Steering Committee felt it was appropriate time to put this plan before the council for discussion to determine the sentiment of council members on this matter. A letter was read to the Council group from Mr. Mangham to Harold Walker, as follows:

"I have been informed of your Steering Committee's desire to place before the Council a proposal to broaden the scope of the Council's activities.

The proposed action is logical. The organization of paperwork activities in this Office and in many other Departments and agencies, recognizes their interdependence and the need for coordinated direction and action.

The USDA Records Council has made important contributions to the records management work of the Department. A broadened Council could result in similar benefits for related paperwork activities. I am sure this view is shared by the Administrative Assistant Secretary."

It was resolved that the Records Management Council agrees in principle to expand its activities to broaden its scope to embrace all phases of paperwork management. The Steering Committee will approach employees engaged in the other fields of paperwork management to determine their interest in becoming a part of our group. If enough of them shows interest, the by-laws will be amended to provide for their membership.

A committee was appointed by the acting chairman to revise the by-laws accordingly. They are: Leroy T. Milbourne, AMS (Chairman), Bill Wiswell, MOS and Virginia Wolfersberger, REA. C. E. Wylie as advisor.

Both committees are to make report at the next meeting.

Chairman asked if any agency representative would like to inform us of any project they have going that other agencies would be interested in. Also asked for problems to be submitted for discussion by the whole Council.

Thirty-five attended the September 19th Council meeting.

The meeting adjourned at 3:30 p.m. No announcement was made of the next meeting.

John E. Hamer

John E. Hamer
Acting Chairman
U.S.D.A. Records Management Council

9-25-62

U.S.D.A. RECORDS MANAGEMENT COUNCIL MEETING
Minutes of Meeting, October 24, 1962
Room 509-A, 2:00 p.m.

Chairman, John E. Hamer, F.S.

The meeting was called to order at 2:06 p.m. October 24, 1962 room 509-A, twenty-seven in attendance.

Announcement was made by Mr. C. E. Wylie, OP&O saying that he had attended a roundtable discussion at NARS. These are scheduled series of round tables to develop standards in order to evaluate effectiveness of programs. Mail Management was the first discussion topic. The roundtable today was on records disposition, reviewing some of the statistical information which records officers might reasonably want to know, to help evaluate their own programs and the programs of subordinate officers. The results will be available to all either as an IRAC or NARS publication.

The speaker, Bill Wiswell of MOS was introduced to the group. Mr. Wiswell gave us an enlightening talk on Automatic Source Data Processing. Highlights of his speech are as follows:

"The Statistical Reporting Service has responsibility for performing electronic and electro-mechanical data processing services for agencies in the Department.

We consider the source data input and output created by such jobs on a reimbursable basis, legally speaking, as records of the agency which requests the job.

Originally such ADP by-products were returned to the agency as part of the total job. Some still are. Gradually, by request the input and output so created, especially punch cards, have frequently remained in Standards and Research space, for quick referral.

With the move of the machine operation to the GSA Building, 7th and D, this storage capacity is sharply curtailed. Jobs that are left behind in the South Building need immediate removal. In vacating space now occupied by these jobs, we wish to guarantee exact and complete coverage by your own official schedules where applicable. We also need to know the extent of your agency schedule coverage for correct handling in the future. (The data processing center plans to expand from its present 1401 to a 7072 and 7074).

In a letter to each of you, October 3, we asked you to tell us the divisions on which you now have Congressionally approved schedules for ADP input and output, such as punch cards, tape, and comparable media. We appreciated your prompt answers.

General Records Schedule 19, item 5, covers Research and Development ADP products. It does not include ADP products of an agency recurring, established, operational character. Where schedules are lacking, we propose to submit an "elastic clause" schedule to the National Archives for every USDA agency to apply on such products, e.g.:

DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
Automatic data processing input and output, such as pumch cards, electronic tape, or comparable media used by the Standards and Research Division of SRS to process data of an agency program character - NOT covered elsewhere by agency schedules nor by the General Records Schedule 19, item 5.	Dispose when determined by agreement of the Standards and Research branch chief and the pertinent branch chief of the requesting agency that the files have served their purpose.

We are not including the final tabulation sheets or "print outs" in this schedule.

Thank you for your written unanimous concurrence on this approach."

John Hamer, Vice-Chairman, presided in the absence of the Chairman.

The Vice Chairman reviewed and led Council discussion of proposed changes in the By-Laws, as required by the present By-Laws. Discussion centered mainly on (1) the list of activity areas embraced by the expanded Council; (2) the change in name from "Records Management Council" to "Paperwork Management Council"; and (3) type of organization proposed.

The revised By-Laws will be voted on at the next meeting of the Council. The proposed revision was drafted by a special By-Laws working committee named at the September 19th Council meeting. Copies of the proposed revision were furnished Council members in advance of the meeting. The revision also was reviewed by the Office of Records Management, National Archives and Records Service, which suggested adding "Paperwork Productivity and Quality Control" to the list of Council activity areas.

Attendance:

John E. Hamer, FS
James H. Austin, OP&O
C. E. Wylie, OP&O
L. E. Vaughn, MOS
Don Taft, MOS
Bill Clarke, FS
A. Lyree Phillips, Lib.
Mary Lee Butler, CEA
Catherine S. Glynn, FHA
Zelma H. Margelos, Inf.
Edward J. Morse, Inf.
Glen Suter, SRS
Harold Rawcliffe, ASCS
A. B. Murdock, ASCS
C. G. Christianson, ASCS
James A. Pearo, ASCS
H. B. Westfall, ASCS
C. W. Schnellbacher, AMS
Paul C. Wirth, ARS
Wm. W. Brown, ARS
Nick Allen, FHA
Val Trowbridge, FCIC
Jack L. Flowers, AMS
L. E. Roberts, OGC
W. Hillenbrand, MOS
W. Wiswell, MOS
Mardean R. Miller, SCS

Meeting adjourned at approximately 4:10 p.m.

Copy of proposed By-Laws attached.

UNITED STATES DEPARTMENT OF AGRICULTURE

MINUTES OF THE RECORDS MANAGEMENT COUNCIL MEETING
Room 509-A - 2:00 p.m.
November 21, 1962

Harold D. Walker, Chairman, presided.

The members present, constituting a quorum, voted approval of proposed amendments to the Council By-Laws. The revised By-Laws provided for a broadened scope of Council activities and for a change in name to the U.S.D.A. Paperwork Management Council. The new By-Laws will be reproduced and distributed in the near future.

ANNOUNCEMENTS:

The Records Management Division, Plant and Operations, plans to make a survey of existing microfilming projects in the Department. Based on survey reports, Records Management Division will decide what to do next. One possibility is that of requiring Records Management Division clearance on existing and planned microfilming projects.

Federal Records Management Officers met at Navy Department, November 20, and were treated to a demonstration and discussion of Bu-Ships Central file microfilming operation. They create 160,000 new pieces of record material per month, and average 10,000 searches. It is a $200,000 system, with 2 cameras, 1 retrieval unit, (another to be added). Uses 1,000 ft reels of microfilm, each holding 30,000 images, reduced 25 to 1. Two bookcase sections, nearby, hold 32 reels, containing a million images. Eventually, the installation will have about 50 employees. Bu-Ships used to have 1200 typists, and made typewritten copies of incoming material. It now has 600, and copies are made mechanically, for internal use. These copies go into branch files, where there is a 75% duplication of the central files.

GSA Roundtables have been held, and maybe completed, on mail management and records disposition. USDA agencies contributed source material to these roundtables, which were attended by Mr. Wylie and Mr. Doyle.

Records Management Division is negotiating with Budget and Finance for a relaxation of the B&F objections to certain General Records Schedules. The Department has not been able to use some of the items in those schedules since they were promulgated in 1952, particularly those pertaining to 1 year retention of pay cards, and 10-year retention of ledgers. We believe that our present effort will have some degree of success.

Records Management Division has asked General Accounting Office to approve retention of payroll records in the MDSC, New Orleans, for only 6 weeks, followed by transfer to the Federal Records Center. If approved, GAO auditors will withdraw records from the Federal Records Center for audit, then return them after audit.

GSA sponsored a visit of agency records management officers to the Civil Service Commission on October 16, 1962. The visit featured the Civil Service Commission's "Training Guide for Paperwork Management Programs", issued as a CSC Administrative Manual Supplement 178-G. This booklet describes the CSC records management program.

1. It designates official file stations which are decentralized to their using activities. A directory of the official file stations has been prepared.

   Numbers are assigned to record series and also a uniform title, such as reading files, administrative subject files, etc.

2. The Commission has organized a Central Reference and Control Service, which keeps track of the locations of all records series and provides information on them. This Service publishes lists and indexes of all records series.

3. Other Elements. The Commission has one publication entitled "Documentation and Control," which sets forth documentation requirements, control procedures, and file station directory.

   Another publication called "Maintenance of Records" includes Filing Standards and Practices, File Classification System, and Alphabetical Index.

   The third is called "Disposition of Records" and treats of Appraisal and Scheduling, Transfer and Disposal Procedures, and CSC Records Schedules.

   The Commission provides training to install its new filing system.

   Tabulating machines are used to control the filing system, the files inventory, to print out up-to-date filing manuals from time to time, and to print revised lists of official filing stations.

   Civil Service had the help of National Archives and Records Service in planning and installing their new system.

The Agenda Committee for the 1963 Federal Records Management Officers Conference has a draft agenda ready for submission to National Archives and Records Service. The proposed agenda emphasizes the total systems concept of management and the role of records management. The Conference was held last year at Gaithersburg. Agenda Committee members are Kenneth Falconer, V.A., Louis Carrico, C.I.A., and C. E. Wylie, U.S.D.A., Chairman.

Mr. Walker reported on his temporary detail to the Management Data Service Center, New Orleans, to help write procedures for conversion to the new MODE payroll system.

Attendance as follows:

Harold D. Walker - FCS	Henry J. Seidel - ASCS
C. E. Wylie -P&O	Val Trowbridge - FCIC
P. J. Doyle - P&O	Russell L. Paxton - ASCS
John J. Smiroldo - FCS	Oneta Bear - FAS
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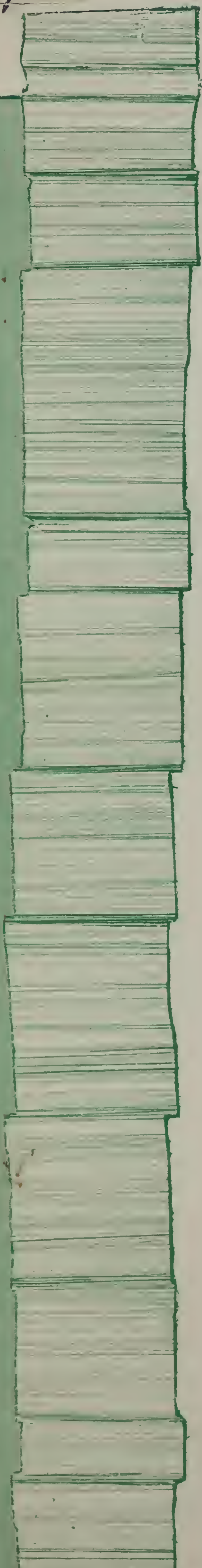
UNITED STATES DEPARTMENT OF AGRICULTURE



Paperwork Management Council

PROGRAM REPORT - MEETING
OF JANUARY 21, 1963

WORKING TOGETHER FOR TOTAL EFFECTIVENESS IN PAPERWORK MANAGEMENT

SPEAKER:

EVERETT O. ALLDREDGE
DEPUTY ASSISTANT ARCHIVIST,
NATIONAL ARCHIVES AND RECORDS SERVICE

PAPERWORK SYSTEMS IN ACTION

PAPERWORK MANAGEMENT COUNCIL

The Paperwork Management Council is a new U.S.D.A. organization. Everyone who works in, or is responsible for, some phase of paperwork management - anywhere in the Department of Agriculture - may consider himself a member of the Council. Through its meetings, programs and the distribution of information, the Council is designed to sharpen the interests and know-how of its members in the full range of paperwork management activities. Its broad purpose is to promote our working together for total effectiveness in paperwork management.

The Paperwork Management Council is an outgrowth of the U.S.D.A. Records Management Council, which has been in active existence since 1952. The Records Management Council has made a significant contribution to records management in the Department. The Paperwork Management Council expects to do the same thing for records, reports, forms, directives, and mail management, and to provide leadership and coordination to supporting activities, such as source data automation and work measurement. We feel there is a great need and challenge for all paperwork management practitioners in the expanding field of management systems. We want to play a part in that expansion, and we feel you do, too. The Council offers an important means for satisfying that desire.

Harold D. Walker
Chairman, U.S.D.A.
Paperwork Management Council

UNITED STATES DEPARTMENT OF AGRICULTURE
Paperwork Management Council
January 21, 1963

Harold D. Walker - Presiding

Ladies and Gentlemen, welcome to the first meeting of the USDA Paperwork Management Council. This is the outgrowth, of course, of the Records Management Council, and represents the desire of analysts in the Department to get together and associate for greater effectiveness. I am your carryover chairman, serving until May when you have a new election and select a new Chairman. Today we have a number of people here representing the whole field of paperwork management, and management in general. I see Henry Herrell, Assistant Administrator for Management, AMS, and Joe Flannery, Extension Service.

I would like to introduce our officers. Our Vice-chairman is John Hamer of the Forest Service. John has been a very active Vice-chairman, as I was in New Orleans for 6 weeks. He served in my absence very ably. Bill Hillenbrand is the Chairman of our steering committee. Bill would you stand up and give us the names of the members of your committee. (Oneta Bear, FAS; Cathryn Glynn, FHA; Elmo Bryan, B&F; and Pete Doyle, OP&O. Serving ex-officio are the Chairman and Vice-chairman.)

At the head table we have Ernie Wylie, Chief of the Records Management Division, OP&O; Frank Mangham, Director of Plant and Operations; and, John Cooper, Director of Management Appraisal and Systems Development.

Our guest speaker today comes well qualified. He is the Deputy Assistant Archivist of the United States, an outstanding leader in paperwork management in the Government. He has a close working knowledge of the various specialties in paperwork management, and while he was in the Navy, he worked in many or most of these specialties. He has been an advisor to both Hoover Commissions, and under his leadership the National Archives and Records Service of the GSA has established a strong program. Many of you have participated in their workshops or used their workshops in your agencies. Of course, he has assisted the agencies in many other ways. He has appeared before the Records Management Council, our predecessor organization, many times and each time we have profited by his appearance. I would like to introduce now, Ev Alldredge.

"WORKING TOGETHER FOR TOTAL EFFECTIVENESS IN PAPERWORK MANAGEMENT"

Everett Alldredge
National Archives and Records Service, GSA

I would like to congratulate you on establishing your Paperwork Management Council. I believe that you will be pleased with the effect it will generally have around town, as some of the other agencies copy what you have done.

USDA AS A RECORDS MANAGEMENT FOUNTAINHEAD

I sometimes think that an agency like your own underrates the way your admirable actions affect others in the Federal family. When I look at records management within the Federal Government, it seems to me that it has had three well-springs. There is one group of practitioners in town who got most of their training in Navy; another group got their start in Army. The third group stems from the Department of Agriculture. If you made a list of the persons who occupy the various records management jobs around town, I think you would find that most come from one of these three sources.

I think your Records Management Council had a good deal to do with your being one of the seminal three. It was your ability during council meetings to become acquainted with one another; to size one another up so that when people of other agencies asked, "Do you know a good man for such and such a job?" they got a certain unanimity of opinion as to what someone's capabilities were. Thus began the USDA exodus.

Terry Beach left to set up a program in the Public Health Service and later the Coast Guard. Bill Muller departed, to wind up in the Air Force when it was still part of the Army. Dot Luttrell bade you goodbye to help OPS and then Internal Revenue Service. Phil Richey, of course, said au revoir to go to Housing and Home Finance, and Tom Pugliese left for AEC. Bob Meehan and Ten Allsman went to Navy. Annette Blood left for FNMA. The internal program of GSA was set up, as most of you know, by Lin Donaldson and Ken Hoover and is still going along the lines they blueprinted for it. Don Simon, of course, is now over at State Department, and every time I go over there it seems that I see more and more Agriculture people. Then, in our own NARS shop, we have Bob Lando, Virginia Thatcher Williams, Paul Soules, Bill Harris, and Danny Ross, all of whom got their training in Agriculture. I am sure this brief catalogue omits many names, but my point has surely been made.

Good files maintenance has been a trade-mark of USDA, with its subject numeric system. It is now the largest single files system in the Federal Government. In 1940, there weren't more than two agencies other than Agriculture using that system. As a result of your ex-patriates, now

about three-fifths of the Federal Government have adopted it and I expect that sooner or later the rest will go that way.

The daddy of reports management in Navy was Ten Allsman from USDA. A lot of persons have copied the Navy system, which was well publicized, little realizing its real progenitor.

Phil Richey and some of his colleagues in the Department in the late 40's were called upon by the Bureau of the Budget to write "Simplifying Procedures Through Forms Control," which has probably been the most single influential book on forms that has been written. Every forms program in the Government, except Frank Knox's Navy Shop and Louis Rouse's Army system, has been modeled along the lines of the program which the USDA crew spelled out.

In the directives field, the work that Bill Harris, Fred Osgood, and Ernie Wylie have done has been germinative, too. We thought so highly of it, as you know, as to get Bill Harris away from you. Since then, Bill has installed the USDA system in Federal Aviation (with Fred Osgood directing the effort), in AID, and in the Bureau of Land Management, although the HEW, Navy, GSA, and Commerce systems are patterned after that of ASCS.

I would say a great deal of this influence that the Department of Agriculture has wielded has been as a result of your getting together and knowing what one another was doing. I doubt, for the most part, that the other agencies have done enough of this. When I was in the Navy, all the Records Officers of the Bureaus met once a month, and I still think that what we call the Navy system was helped by these periodic brain storming sessions of the senior practitioners. Every idea advanced got filtered through the minds of a good, down-to-earth company of pirates.

My guess is that most of the persons who were part of the Agriculture exodus, however, tended to leave between 1950-56. It seems to me in the last 4 or 5 years, the influence of Agriculture on the rest of the Government has diminished. There is a real possibility, with your Paperwork Management Council being brought into being, that Agriculture can muster the forces to bring a renaissance of its leadership.

HOW THE NEW COUNCIL CAN HELP

If you were to ask me how the Paperwork Management Council could lead to a renaissance, I would point to that portion of your by-laws dealing with Council objectives. I think you have a good statement of what you expect the Council to do. I would phrase it a little differently - not that my words would necessarily be an improvement on what you already said, but I just simply happen to think in somewhat different terms.

Rather rapidly, I have written down five ways in which the Council can be effective and helpful. Whether it turns out that in each of these respects

it is effective and as helpful as it might be, of course, will remain to be seen. Yet it will give you, or it can give you, the channels to accomplish these five things.

First, I think the Council can help you professionalize your work. The Paperwork Management profession is new as professions go. It is still in swaddling clothes. As we get further and further into the 20th Century, government as we know it is becoming more and more dependent on paperwork. Wrestling with this paperwork requires a professional if headway is to be forthcoming. We all define a profession about the same way--its hallmark is a body of doctrine. This body of doctrine encompasses the skills that people need to work with, the kinds of methodology and techniques they use, the kinds of practices that are recognized to be the best, and advocates service rather than gain as the goal of those having the professional knowledge. In order for a profession to emerge, a lot of doctrinal work has to be done. In the formulation of that doctrine, bringing it together into a cohesive whole, I believe the Paperwork Management Council can help.

Secondly, the Council might very well set some common goals. Actually, when paperwork management programs flounder, it is because realistic goals haven't been set for them, or they've had difficulty in arriving in some concrete fashion at precisely what their goals are. I hope that as you have subsequent meetings, you will address yourselves to this problem of common aims.

Thirdly, the Paperwork Management Council might very well help you develop standards to measure program effectiveness. Nearly everywhere people aver paperwork management is a good thing, but what does it accomplish? This in turn depends partly on the awareness that people have in knowing what to record and how to measure it. In this connection let me tell you a couple of stories. If I had a lot of time, I think I could tell you 25 or 30 stories, but perhaps a couple will suffice to illustrate the measuring of program effectiveness.

Government paperwork management very largely derives from the passage of the Federal Records Act of 1950. As early as 1952 a good many of you will recall that NARS asked every agency to give it an annual report on volume of records held, where these records were held, and the like. That very first report, figures as of June 30, 1952, showed about 25 million cubic feet of records in the Government occupying about 25 million square feet of space. Out of the 25 million square feet of space being occupied by records in 1952, 20 million were office space and about 5 million feet were various kinds of storage space.

As most of you know, we just completed another inventory for Fiscal Year 1962, exactly 10 years later. As of June 30, 1962, we had only slenderized down to the 24 million cubic feet mark, but we were now down to 13 million square feet of storage space. By using records center techniques, we have really compressed the amount of storage space needed for noncurrent files. The reduction of office space, so far as records occupying office space is concerned, from 20 million feet, in 1952, to 13 million feet in

1962 is saving the Public Buildings Service about 15 million dollars a year. In other words, Public Buildings would have to have that much more money in its budget this year if this compression hadn't taken place.

	1952	1962
Cubic Feet of Records on Hand	25,000,000	24,000,000
Square Feet of Office Space Occupied	20,000,000	13,000,000
Square Feet of Storage Space Occupied	5,000,000	4,000,000

This is one way of measuring program effectiveness--on a "before vs. after" basis. This requires keeping figures that can be compared. Such figures are often called "milestones" and need to be available for some length of time. It may not be a way that necessarily appeals to you, but it is something tangible.

My second closely related story is this. In 1951 the average life expectancy of a Federal record was 13 years. Oh sure, you kept a lot of records a hundred years, you kept a lot 50, you kept a lot 2, you kept a lot 5, but when you averaged all these out, it came to 13 years. In other words when a record was created, to use the language of biology, it could be expected to be on hand for about 13 years.

When we look at the 1962 inventory we have reduced the average life expectancy of a record to about 9 years. That means just this. You will recall I just told you that in 1952 we had about 25 million cubic feet of records in the Government. In 1962, having gone down only 1 million cubic feet, your first unthinking reaction might be, "We haven't done very well, have we?"

That would be to forget all the records created between 1952 and 1962--45 million feet or so. Yet, clearly, 45 million cubic feet were also destroyed between 1952 and 1962, otherwise our 24 million cubic feet on hand would not have remained fairly constant. This was, therefore, quite an achievement.

Helping make this achievement possible was a reduction in life expectancy of a Government record--down to 9 years from the old 13. I am convinced that we can continue to nibble at that figure until we get down to a 7 year average. This is program effectiveness, measured for all to see. It should help convince any doubters that records management pays. Consider the space jam we would be in today if only 25 million cubic feet had been destroyed out of the 45 million cubic feet created between 1952 and 1962. This kind of tangible accomplishment merits public support.

Fourthly, the Council might help you <u>improve the understanding of your superiors as to what Paperwork Management is</u>. I hope that as you have your meetings, you will find it possible to bring in persons like we have here today, Mr. Robertson, Mr. Cooper, Mr. Mangham and Mr. Herrell.

Persons of this administrative stature want to realize what we are up to. They are people used to making up their own minds. They need to decide whether what we are doing is worthwhile and to what extend it deserves their support. A council of this kind can help such persons get a better awareness and comprehension of what our aims and plans are and the extent to which they ought to sustain them with their support.

Otis Beasley, the Assistant Secretary of Administration at Interior, dwelt on this problem in another context not long ago when he said:

> "Let me make one point clear, I am not suggesting for a moment that any responsible Department or Agency head, regardless of the administration with which he is identified, is actively or consciously opposed to administrative management or the objective for which it stands. What so often happens, however, is that there is such preoccupation with program changes and such a high degree of sensitivity to the political barometer that the leaders do not have either the time or the inclination to give the full degree of audible and effective support which is essential to administrative management.
>
> "The most customary loss of continuity which can be attributed to leadership is the 'take-for-granted' attitude. This is characterized by the absence of affirmative support. It leads to cynicism punctuated with the belief that administrative management is just a necessary evil. This apathy toward administrative goals not only arrests progress; it also stimulates a tendency of lower echelon program personnel to blame the lack of progress in their own endeavors upon what they like to describe as administrative red tape.
>
> "Even if there is merely an attitude of disinterest, the damage to administration is substantial."

Fifthly, your Council will want to consider how do you best <u>train practitioners</u>. I think all of us realize that paperwork management is expanding in front of our very eyes. Those of us who were plodding our way in 1951, if someone had come up behind us and said "Source Data Automation," we could only have asked, "What's that?" Well, we have had to learn what it was, haven't we? Indeed, we've had to learn it well enough so that we can recognize a source data application when we see it. This new knowledge only came to us through training.

Consider the forms area. Those who were in the forms business in 1951 knew a few types of speciality forms, but today as near as I can tell, about 75% of the printing cost of forms is in the specialty area. In 1951 less than 20% of our printing bill was going into speciality forms. The forms analysts have simply had to keep up with the new forms making machines coming on the market and the impact of automation on developing speciality forms. How can this be done except through training--albeit

self-training. How well does your wonderful Graduate School offer courses that are germane to this field?

In the last two years our NARS staff working on a Files Improvement Workshop have found how little they agreed on some of the basics. We have been running an internal school to clear up these differences. It has forced us into a reading and studying program that transcended anything we had planned in the beginning. If our experts (they were yours) needed this education, how many more need it?

My interest in reports management dates from helping Navy get a program off the launching pad in 1949. That program emphasized reports pricing, reports registration to diminish content overlap and duplication, and finally reduction in frequency of submission. As a reports program this concept is no longer adequate. Communications management and information management have come onto the scene, changing reporting philosophy drastically. Where is the training coming from to explain this?

As I recently said at an IRAC meeting, I do know this--the paperwork management programs which do well are the programs which constantly provide for the training of their personnel. They are always making it possible for the staff to keep up to date with the new equipment coming on the market and the new techniques that develop. For example, what does operations research have to say to the paperwork management analyst? The behavioural sciences? The management sciences? Surely one of the things you can look forward to from this Council is some better ways of training your principal practitioners.

WHAT PAPERWORK PERSONNEL HAVE IN COMMON

The next question I would like to ask, and try to answer, is this: Do we really need to cooperate in this area? Aren't records disposition, files maintenance, mail management, forms, reports, correspondence and directives sufficiently different that they should go their separate ways? What do we gain, if anything, by uniting? Is there anything really that does unite us? Is there any common substratum of doctrine that we have?

It seems to me that our failure to realize what we have in common in many offices has weakened the improvement impact of paperwork management on office practices. I would like therefore to list very rapidly what some of the things we have in common are.

The first thing is an <u>inventory of information</u>. All of us operate from an inventory. The files analyst wants a listing of subjects. The records disposal analyst wants an inventory of all records by series. The forms analyst wants an inventory of all forms--every single one. The reports manager operates from an inventory--a list of every periodically submitted report. Your correspondence people want an inventory. It's usually a sampling, but nevertheless it still constitutes an inventory. Your directives people want an inventory. They want to know every kind of directive that is being issued and in what systematic fashion it's being issued.

These inventories turn out to be itemized paperwork, each from a different angle. One is a profile view, one is an x-ray, one is an aerial shot. Thus, while we are analyzing these inventories, we are simply looking at the same body of information with different pairs of eyes. What these different pairs of eyes see need to be shared. We will be surprised how the data dovetails, intertwines, and overlaps.

Another thing we have in common is classification doctrine. What do we do with our various inventories? First we have to organize the data. This organization has to take a comprehensible form, be logical, for us to use it. Our records inventories are organized in such a way, usually functionally, so that the records can be scheduled. We all realize that files are almost completely unuseable unless they are organized. In USDA your classification system is the subject-numeric, a hierarchical arrangement that goes from the concrete to the more specific to the more specific.

In order to use the forms inventory the analyst seeks entry into it on a "functional" basis. We have already said the records schedules are usually organized on "functional" basis. Are the records and forms analyst really talking about the same thing?

The directives analyst has to be classification oriented. How does he organize knowledge for retrieval? The librarians do it one way; we records and directives people have to do it another way. It's inconceivable to me that as we try to master the techniques of classification, that the forms analyst can't learn something from the directives analyst and the directives analyst can't learn something from the files analyst, and so on. As a matter of fact, a good many of us are beginning to suspect that probably one master classification system for every agency might be the answer to the present disparate, discreet classification systems that each agency has. Some agencies have as many as thirty-five or forty classification systems in their paperwork mosaics. In so far as I know anything about Agriculture, I have the impression that Forest Service is working toward a master system.

Classification theory comes close to constituting our hard professional core. We are in good company. Some of the best minds that have ever lived, have been primarily concerned with the classification of knowledge. Aristotle, the famous Greek philosopher was one of the first persons who tried to segment all knowledge into little pieces that could be grasped and worked with. In more modern times, we have seen science unable to come into its own until it had worked out classification schema for biology, botany, chemistry, and physics. In library science we have had Dewey, Bliss, and Cutter. In information retrieval we have had Ranganathan, Vickery, Kent, Luhn, Bernier, Bar-Hillel, Mooers, and Fairthorne, to name some of the leaders who are taking a "new look" at hierarchical classification.

We have come to understand the shortcomings of a hierarchical system in terms of slowness, in terms of the extent to which current cross-referencing

techniques are too costly, in terms of its ability to produce documents rather than information. The impact that this has had on classification theory has not yet begun to subside; thereoefre the eventual impact it will have on us is too early to predict.

The third thing we have in common is procedural analysis. All of us have realized that if paperwork management has any internal rationale it is the way paperwork turns out to be the backbone of our procedures. You can't show me a procedure that isn't held together by the paperwork it generates. Usually to penetrate into a procedure, you've got to understand the paperwork that gives it whatever vitality or life that it has. In other words, to comprehend a directive, you've got to understand how it propels a procedure into being, or alters its course. In order to appraise a report, what data does it up-end to flesh out what procedure? So what procedural analysis is and how you perform it is certainly something that we have in common. Throughout this discussion I am using the classical definition of a procedure--a method is the way a person performs work; a procedure is a grouping of methods; a system is a grouping of procedures.

Records management is the offspring of a marriage of two highly useful disciplines--the industrial engineer and the archivist. Neither had ever worked in the office, but in the very late 1930's ome very unusual people saw how the doctrine of these professions logically extended to the office. Procedural analysis came from the industrial engineering side of family--from Taylor, Gantt, and Gilbreth. Gantt taught us how to chart, Taylor to segment and itemize, and Gilbreth how to select measurable units of work. The marriage in its first days did not work too well, but 20 years of living together in the same ideological house has produced stability of concepts, of which procedural analysis is the finest of the first fruits.

Still another thing that we have in common is our conception of paperwork as data flow. How do we perceive data flow? How do we describe it? What are the best ways to chart it? What are some of the best ways of thrusting one's self inside of it and seeing it move? As I look at data flow, I'm reminded of six propositions that have become a charter for all of us. Let me see if I can state those propositions succinctly:

1. The average executive gets more data about his organization than he has time to use.

2. He gets considerable data that he does not know how to use.

3. He gets some data that is dangerous to use.

4. He gets considerable data that is useless.

5. He gets some data too late to use it.

6. He fails to get some of the data he really needs.

All of this is comprehended in data flow. It's these kinds of problems that you and I were brought into existence to help solve. We help solve them by a new circuitry, by pointing out what the possibilities of rearrangement are, what the possibilities of new origination are, what the possibilities of combination are. Since our professional fascination for data flow is held in common, surely when forms, directives, correspondence, files, reports, records disposal, and mail analysts get together, this gives us a very real link and we ought to make the most of it.

The final thing that we have in common is an overriding concern for management efficiency. Quality control and cost reduction enter here. Of course, we have this in common with a lot of other people. We have no monopoly on this at all.

I have doubts if there is sufficient realization, however, that for us to function well in this area, we require relatively unfettered time. A forms person can't orient himself sufficiently in this direction if all he is doing is processing the design work that is coming across the counter every day. The records person can't work well in this area if the daily job of processing transfers to a Center, handling requests for disposal and the like, take all his time. As staff personnel, we need time to pull ourselves off the firing line for several months to study a problem which may turn out to consist of a number of procedurds, and contain a number of criss-crossing data-flow lines.

These circumstances prevail in operational areas in which problems are known to exist, such as backlogs, bottlenecks, unusual timelogs, excessive volume, repetition, or numerous errors. A great many paperwork offices put this kind of work on a project basis. This helps to pin down the scope of the work, highlight its nature, help keep tab on the progress made, and, when completed, aids in reporting what was done. Projects additionally furnish a springboard from which an analyst can initiate broad studies of functions or routines.

Here, I feel like apologizing. For, in addressing an agency which has developed the Management Improvement Project System, who am I to talk of projects? Secretary Freeman in his Memorandum No. 1514 said, "of equal importance to the identification of management projects is the careful evaluation of costs involved in conducting the study and the benefits to be derived." None of us could dissent from this, except this usually isn't our problem in showing our concern for management efficiency. Our problem is to get sprung loose from our over-the-counter business.

In conclusion, I am not here to glorify "togetherness," or talk about cooperation in the abstract. Working together on any worthy enterprise produces good morale, a healthy frame of mind, that can be reflected in our daily work and in our contacts with others. I do contend our enterprise is worthy; I do contend that reports, forms, correspondence, files (including equipment and supplies), directives, records disposition, mail,

information retrieval, and clerical quality control have enough commonalty, enough similarity in technology and methodology, to challenge our willingness to work cooperatively, and to make imperative a greater awareness of what each speciality is doing. Finally, I do contend that cooperation will lead to new insights, to greater productivity, to increased usefulness. To me, this is sufficient reward to you to get the council going, with a "full steam ahead" command from the skipper.

Thank you for inviting me to your first meeting.

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UNITED STATES DEPARTMENT OF AGRICULTURE

Paperwork Management Council

PROGRAM REPORT - MEETING OF MARCH 26, 1963

BLUEPRINT FOR THE USDA PAPERWORK MANAGEMENT PROGRAM

SPEAKER:

C. E. WYLIE
CHIEF, RECORDS MGMT. DIVISION
OFFICE OF PLANT AND OPERATIONS

PAPERWORK SYSTEMS IN ACTION

The Total Systems Concept

"Working Together for Total Effectiveness" was the appropriate topic for the U.S.D.A. Paperwork Management Council's first meeting. Not one of us can do all the things he wants to do, alone. But we can do many of them cooperatively through the Council.

Intensive and purposeful cooperation will aid us in reaching our goals. Paperwork management is a part of a total systems concept in which all the parts of an organization's management system are interdependent, each essential to the success of the other parts and to the total system. It is a part of the Council's job to make these parts effective through planning.

UNITED STATES DEPARTMENT OF AGRICULTURE
Paperwork Management Council
March 26, 1963

"BLUEPRINT FOR THE U.S.D.A. PAPERWORK MANAGEMENT PROGRAM"

C. E. Wylie, Chief
Records Management Division
Office of Plant and Operations

When Bill Hillenbrand came to me and said that the Council Steering Committee had decided that I should talk to you about the Department's paperwork management program, I agreed readily. I felt, as I know many of you felt, that the discharge of the responsibilities of my office, for broad leadership and guidance in this field, called for my appearance before you with some sort of plan for Departmental action. Besides, I was leaving for a week-and-a-half of field travel, and March 26 seemed a long ways away.

I saw some of you, or your close associates, in the annual meetings of the Areas Equipment Committees in Seattle and St. Louis. This Thursday and Friday, the Eastern Area Committee meets in Raleigh, and perhaps we will see some of you there. Those meetings with their representation from many agencies and many States, dealt with a wide range of administrative services subjects, including paperwork. And they reminded me of the vastness of the Department and its programs, of the complexity of its operations, of the never-ending array of problems to be solved, and solutions and improvements to be worked out. And I was a little awed and a little stirred by the thought of the immense responsibilities that exist, just in the field of paperwork management.

I am supposed to give you a blueprint for a program of paperwork management, for the Department of Agriculture. That is a big order. I have thought about it. And the more I think about it, the surer I am that I don't want to do it all by myself. It isn't merely that it makes me feel inadequate - I'm afraid some of you might agree too readily with me on that. More importantly, I feel that you have the right to help plan the campaigns in which you will be expected to carry most of the action. Unless you disagree pretty strongly with me, at this point, I want to make it clear that I think our final "blueprint" should be a plan for action, and not just a set of star-dusted goals. Goals are alright - we need them - but let's keep our eyes on the action, for that is where are are going to get our knocks or our bouquets.

So, what I would like to do, now, is to describe, briefly, the principal factors that I think should go into our blueprint. These will include the main structural outline, as well as a little bit of what architects call the "specifications." You all have vital roles to play in designing and carrying out our blueprint.

Charter documents in paperwork management. First, let's examine our "charters" in paperwork management - the documents that establish clear managerial responsibility for getting the paperwork management job done. These are documents with which every serious paperwork management specialist or administrator should be familiar. The oldest of these is the Federal Reports Act of 1942. Together with implementing Bureau of the Budget Circulars, this enactment provides controls over the gathering of public and other general-use data, and affects the design of our forms as well as our reports. The Federal Records Disposal Act of 1943 and the Federal Records Act of 1950 are the basic charter documents for current Federal paperwork management activities. The Records Act says.

> "The head of each Federal agency shall establish and maintain an active continuing program for the economical and efficient management of the records of the agency. Such program shall ..... provide for ..... effective controls over the creation, maintenance, and use of records in the conduct of current business."

Two Hoover Commission Task Force Reports on Paperwork Management, still provide guidance in the field of records management. The second Task Force interpreted the word "creation" in the Federal Records Act of 1950, as including the generation of records in the form of reports, forms, correspondence, regulations and directives. It introduced the term "paperwork" to better describe the broad range of paperwork media in which records are generated. The Council has adopted this term as being more meaningful to our varied paperwork interests.

Title III Regulations of the General Services Administration, and Title 4 Regulations of the Department of Agriculture, contain policy and guidelines for the management of paperwork in the areas we have mentioned. Both G.S.A. and U.S.D.A. are in process of amplifying their regulations to reflect new concepts and new objectives, and to provide greatly improved guidance in the whole field of paperwork management. Many agencies have done an outstanding job of formalizing their paperwork management policies, procedures and systems operations. These documents give overwhelming evidence of the Congress' and of the Executive Branch's determination that our paperwork shall be managed effectively and efficiently.

Organizational resources for a paperwork program. Now, let's examine the organizational resources which we have at our disposal. Organization is important. It is sometimes described, in management parlance, as engineered or planned cooperation. Organization charts, if they are meaningful, show not only the exact placement of responsibility for each function in an organization; they also show relationships between functions, and provide the lines of authority and communication for

needed cooperation in carrying them out. Let's keep this objective of "planned cooperation" in mind, as we look at our organization of paperwork in U.S.D.A.

Looming above the U.S.D.A. hierarchy is the National Archives and Records Service. Guidance in paperwork management is received principally from the Office of Records Management, which was created as a result of the recommendations of the 2nd Hoover Commission Task Force on Paperwork Management. However, the expanded objectives of Federal paperwork management make the services of other units of N.A.R.S. essential to us. Thus, we receive direction and services from, and do business with, the Office of Records Appraisal and the Office of the Federal Register. Most of you know that N.A.R.S. administers military and civil archives, Federal and military records centers, and the four existing Presidential Libraries.

N.A.R.S. looks after the paperwork of the entire Federal establishment by interpreting and delegating basic authorities; by establishing basic policies; by providing technical guidelines and direct assistance to agencies; by storing and servicing our records for us; by evaluating the effectiveness of agency paperwork programs; by providing training and up-dating the skills and knowledge of paperwork managers and technicians. N.A.R.S. gives us a great deal. It is a valuable orgznizational resource.

Next, let's look at the Office of Plant and Operations. The Records Management Division, although historically located in O.P.O. (at least the records maintenance and disposal functions) it was made a part of the Office of Administrative Management, when that Office was created in January, 1957. When the Office of Administrative Management was abolished, December 8, 1961, the records management functions were transferred back to the Office of Plant and Operations. On March 12, 1962, a revised P&O organization chart established the Records Management Division.

The Records Management Division, at the Department level, has very broad responsibility for records management and other paperwork management activities throughout the Department. Although its interests are the same as yours, they are different in one important respect: they represent a strictly "staff", rather than operational, responsibility. One of the unfortunate concepts of staff work often is that the need for staff services is less urgent than for operational services. Hence, we have, today a staff of four persons responsible for a broader paperwork management program than the eight man staff of ten years ago.

What <u>form</u> is the discharge of our responsibilities expected to take? According to the chart, the Division, under the heading of "POLICY AND DIRECTION, exercises general responsibility for the effective management of records, reports and other related paperwork activities of the

Department. Formulates policies, standards and procedures for administration of programs in these areas. Provides leadership, coordination and technical assistance to agency officials in developing records systems and other related programs for efficient management."

More specific direction is contained in the following chart text:
"<u>TRAINING</u>: Developing and presenting training courses in records and other related paperwork areas to agency personnel.

<u>REVIEWS</u>: Conducting surveys of activities and programs in the above subject areas for compliance with laws and Department regulations and making evaluations and recommendations for improved operations.

<u>LIAISON</u>: Maintaining liaison between the Department, the National Archives and Records Service, the General Accounting Office and other Executive Departments and Independent agencies on matters relating to the Department-wide functional responsibilities of the Division."

Our remaining, and in many ways our most important, organizational resource are the agency paperwork management staffs. Today, every agency in the Department has a records management program, and most of the larger agencies have specialized staffs to perform the other paperwork management functions, such as forms, reports, and directives. Several agencies have specialized paperwork management staffs in their larger field offices. Agency staffs include many individuals with professional skills and experience.

<u>Framework for an action program</u>. The Department has ample resources for achievement in paperwork management. The big question for us is: How do we use them? What are the Department's biggest needs in paperwork management? It seems to me that if we can identify these, we will have the main framework of our blueprint for an action program. The more I think about what Ev Alldredge, in his talk to us on January 21, said were ways in which the Council can be effective and helpful, the more I see in some of them the basic building blocks for an action program for us. Let's look at them.

<u>FIRST, professionalize our work</u>. This, of course, means development of professional attitudes, as well as skills; development of individuals, as well as doctrines and techniques. The principal means for achieving this, it seems to me, are through (1) intensification of our professional associations, such as the Paperwork Management Council, the Interagency Records Administration Conference, and similar organizations; (2) expansion of the literature of paperwork management, by which policy and procedure are promulgated, and technical guidelines are made available to individuals; and (3) consistent effort to establish and meet the highest job qualification standards in the paperwork management field.

SECOND, set some common goals. This simply means that we must identify the precise paperwork achievements that we want to see take place in the Department. These can be one-time events such as the establishment of a policy or service; or they can be measurable levels of achievement, such as we may set for ourselves in each of the paperwork areas. Such goals might well be the targets for special effort in records disposal, reports control, forms design, directives improvement, or any of the many paperwork areas where we think we can, and want to, make our mark. I think the setting and attaining of goals will make our jobs vastly more interesting and satisfying, by imparting a sense of motion and action to areas of work that are too widely known for their static dullness.

THIRD, set some standards for measuring program effectiveness. We are already started on a program to set such standards. But, as yet, it is a GSA program. When the standards are released by GSA, agencies will have to decide how to implement, and how to use, them. Some agencies are now collecting data for evaluating their paperwork programs, but, in most cases, these are limited. Perhaps we can agree on some Departmental standards. The need is very great. We have done very little to systematically evaluate paperwork program effectiveness.

FOURTH, improve the understanding of our superiors, as to what paperwork management is. This is a far subtler, far more difficult thing than appears on the surface. Recognition of the importance and precise value of particular paperwork management functions, in the framework of the agency's total management objectives, requires that management understand them. Ways need to be found to work the development of this understanding into established channels of management communication.

FIFTH, provide needed training to paperwork practitioners. We all know that we are not training people, as we should, to insure the highest degree of skill in known techniques, particularly analytic, conceptual and creative skills. Much less are we training them adequately to meet the requirements of new management systems that are coming over the horizon. Paperwork cannot be conducted today, as it could yesterday, on a "best effort" basis. Out of those best efforts, in this Department, came ideas and innovations that contributed much to the technology of paperwork. But others have been creating and innovating, too, on a broad systems front, and we have a lot of catching up to do, if we are going to stay in the game. Training and learning, on a professional level, are a must for paperwork practitioners. We must identify our training needs with considerable precision. We must inventory the training that is available. Then we must program the training to meet the need. If, in the process, we find that needed training is not available, we may need to search for it elsewhere, or create it ourselves.

The SIXTH, I like to call create and innovate, although you might like the term "improve paperwork systems and operations" better. What we call it isn't as important as what we do with it. The time has come for those who call themselves professional, in this Department, to apply their imagineering skills in a concerted drive to identify the weaknesses, the deficiencies, and the needs in paperwork management - and to propose sound actions to meet known needs.

Beyond this, there is a great need for imagination and daring to devise new systems and new operating and servicing techniques in paperwork. These are needed to meet the impending challenges of automation and centralization of common services. And we cannot wait very long for them, or they may be engineered for us by someone else. But I am confident that we have all of the skills, all of the imagination, and perhaps some of the daring needed for this achievement, among the paperwork managers of the Department.

Well, there is your framework for an action program. As a blueprint, it may have its faults. But as a foundation for construction of a paperwork management program, I believe it has considerable merit. And I think we have to do this kind of analytical planning, before we can chart with precision the kind of program we want, and that we think the Department needs. I have great confidence in your ability to help in the creation of such a program.

Perhaps I would disappoint some of you if I didn't say something about our own plans for Departmental paperwork management. After all, that is our responsibility. So, let me assure you that we will do everything humanly possible to discharge the broad responsibilities assigned to us. We will work very closely with other Council members (we are members, too, you know) in developing and carrying out a "Council" program of action. We are working intensively on a set of guidelines for reports management and reports writing; on standards and guidelines for microfilming records. We are cooperating with N.A.R.S. in the development of standards for measuring program effectiveness, and in the development of new workshops to be announced this year. Within our limited means, we will put on all the workshops we can. I know you will help us identify the workshops that are needed most.

In addition, we will work unceasingly toward what we regard as our basic objectives. These are: First, to see that the Department of Agriculture has the best possible paperwork management program, with adequate means in every agency for maintaining it. Second, to see that the "state of the art" of paperwork management is raised - both in effectiveness and acceptance - to the highest possible level within the framework of U.S.D.A.'s overall management objectives.

I'm sure I don't need to tell you how much depends on your involvement and cooperation in this venture. I hope we will see all agencies represented at Council meetings, and on the working committees with which the Council expects to achieve its objective.

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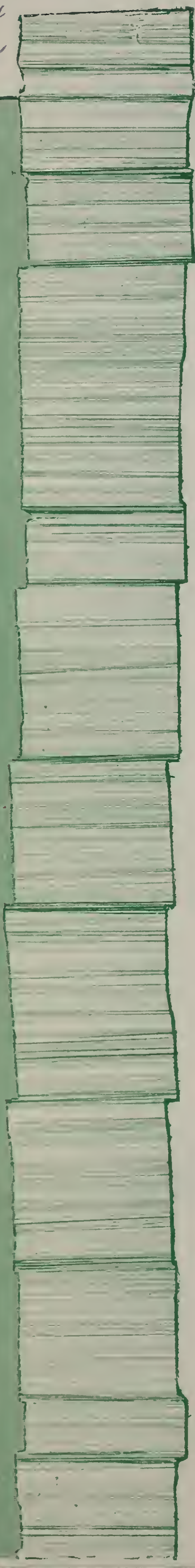

Paperwork Management Council

PROGRAM REPORT - MEETING OF MAY 21, 1963

A WORK MEASUREMENT PROGRAM FOR IMPROVING PRODUCTIVITY

THE USAF MANPOWER VALIDATION PROGRAM

SPEAKER:

LT. COL KENNETH G. BUGLASS
OFFICE OF MANPOWER & ORGANIZATION
HEADQUARTERS UNITED STATES AIR FORCE

PRESIDING:

JOSEPH P. FLANNERY
FEDERAL EXTENSION SERVICE

PAPERWORK SYSTEMS IN ACTION

ABOUT THE SPEAKER -

Colonel Buglass has been in the Air Force 22 years. He has spent the past five years in Headquarters, USAF working on work measurement and productivity measurement. He helped develop and install the USAF Manpower Validation Program. Since presenting the USAF program to the USDA Paperwork Management Council, Colonel Buglass has transferred to the Federal Aviation Agency where he will develop and install a manpower validation program.

USDA PAPERWORK MANAGEMENT COUNCIL -

The USDA Paperwork Management Council was established November 21, 1962, with approval of the Administrative Assistant Secretary. Everyone who works in, or is responsible for, some phase of paperwork management - anywhere in the Department of Agriculture - may consider himself a member of the Council. Through its meetings, programs and the distribution of information, the Council is designed to sharpen the interests and know-how of its members in the full range of paperwork management activities. Its broad purpose is to promote total effectiveness in USDA paperwork management, and to provide leadership and stimulus to related activities, such as information storage and retrieval, source data automation, and paperwork productivity and quality control. Council luncheon-program meetings are held about once each month. Members are notified in advance of meetings.

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A WORK MEASUREMENT PROGRAM FOR IMPROVING PRODUCTIVITY

THE USDA MANPOWER VALIDATION PROGRAM

Lt. Col. Kenneth G. Buglass, Headquarters USAF

My purpose in speaking to you, today, is to explain a program that we initiated in the Air Force, some three or four years ago. It has enjoyed considerable success, and is very much in line and in keeping with the recent letter of President Kennedy and Bureau of the Budget Circular A-44 in that it deals with manpower utilization, productivity, or the better distribution of the manpower resource.

In discussing this program today, I will go into detail as to how we started this program in the Air Force, because I understand you might be interested as to how such a program could be launched in your Department, or possibly one of your agencies. So I'll cover a little bit of the history and background of the program, give you a general idea of how it works, the methods and procedures we use, and finally go into a little bit of detail as to the techniques that are used in gathering data, manipulating this data, and arriving at what we call the manpower standard.

The program was first thought of back in the summer of 1958, when a group of individuals decided we needed some way in the Air Force to better distribute our manpower resource, some way of determining how much manpower we needed to do a given amount of work so that when we took our program, our manpower program, to the Department of Defense and to the Congress we would have some assurance that the number of people or the number of spaces, (the terminology we use in the Air Force is manpower spaces) was related to the amount of work that we had to do. So, these were the broad perimeters that were used in the initial thinking to develop this program. This was in the form of a Headquarters Air Force study, and at that time we did very much like you gentlemen and ladies are doing today - we looked at programs of other Governmental agencies to see what they had done in this field, to see if we could capture or take any thoughts or work that other people had performed, and apply them to our own Department.

After the initial study was completed, we then prepared a briefing which was taken to our then-Deputy Chief of Staff, General LeMay. We made this presentation and told him that we felt that we could develop usable manpower standards for use in the Air Force, and we asked his permission to launch this program. And, when we asked his permission, we had a letter ready for him to sign to each of our major commands, announcing that the Air Force was going to establish a program of work measurement - measuring the amount of work and establishing manpower standards - and soliciting the support and cooperation of the major air commanders.

General LeMay signed this letter, and it went to the 18 major air force commands, as we call them. I'm sure most of you are familiar with them, the larger ones, Strategic Air Command, Tactical Air Command, Air Defense Command, and some of our overseas commands. So, here at the start, top management is in effect telling the Commanders in the field - the line commanders - that we have decided we must exert some effort in this area, and this is the start, and we are soliciting your support.

The next step then, was to train some people and do some testing of the methods and procedures. Here, you see, we had a good deal of confidence. We had already sold the chief and now we had to go back, so to speak, and announce that we were going to conduct a test to find out if the methods and procedures that we had envisioned would actually work for the various kinds of functions that we have in the Air Force. When I speak of functions, I'm talking about the supply, civil engineering, maintenance of buildings, administration, aircraft maintenance, and so on.

This pilot test was conducted in five different major air commands, by six different teams. These teams consisted of specially selected officers, airmen and civilians trained at AMETA. That is the Army Management Engineering Training Agency, an Army school operated at Rock Island, Illinois. We had 48 people trained in that initial cadre, and the pilot test was conducted over a period of six months. They worked in a variety of functions. We tested procedures and techniques to find out which were most suited and were most effective. At the completion of the pilot test, February of 1960, the decision was made that the program would be launched Air Force wide, and the initial implementation date of 1 July 1960 was established. Concurrently, the development of the Air Force Manual, the procedural guidance for the program, was under way at the Headquarters of the Air Force and was ready for distribution to the people in the field at the time that the program was implemented. I might add that the initial implementation was only in the Continental U. S. It was envisioned that the overseas commands would be brought into the program at a later date.

At this point in time, upon the implementation of the program Air Force wide, we had 150 people trained and established in these - as we call them - manpower validation teams. Now, I might explain that a team consisted, usually, of three senior airmen and two officers. This was a manpower validation team. We had other teams that were composed primarily of civilian personnel. Some with a mixture of civilian and military. Generally, we try to tailor the mix of the team similar to the mix of the peoples they were studying. In other words, in civilian type organizations we used civilian technicians, in military organizations we used military.

To move on, then, the objective was established early in the program, and remains today, to develop and maintain accurate work center manpower standards. And, when we are speaking of a work center, we are talking of a small segment of a function or an activity. If we think of food

service as a function, the dining hall would be one work center, the bakery another, the meat cutting plant would be another work center.

We have a secondary objective which we feel will become a primary objective in a year or two - what we call management engineering in the Air Force. It goes by other names: methods improvement, equipment utilization, general improvement of methods and procedures at the work site. But, as I mentioned, this management engineering objective is a secondary one, now, the primary one being the establishment of the standards.

I have already talked a little bit about the organization. I mentioned teams. These teams are located at various Air Force bases assigned directly to the major air command headquarters. So, here you have a manpower validation team with location on the base, studying the functions on that base, establishing manpower standards, but working for the top management up here. This is to prevent undue influence on the part of the base commander or the people at the site from trying to influence the objectivity of these standards and the data that is being collected. This has been very successful for us. At the present time, we have some 100 manpower validation teams scattered throughout the world. The program is now implemented overseas as well as in the continental United States.

Now, to move to the procedures that these teams utilize in developing these standards. This is the scheme or the plan of attack, so to speak. First of all, a look at the methods and procedures in the activity, to see if procedures or methods can be improved.

Secondly, an identification of these work centers, determining what the work centers will be and then, more important, a definition of the work centers - a written narrative as to the job elements and the work that is performed in a particular work center. This is important because, remember it is the work center for which we are establishing this manpower standard. The lines of definition or the boundaries, so to speak, must be very clear and distinct so that we are not measuring a portion of work from another work center or another activity.

Next, a selection of a work load factor - really an indicator of the volume of work in this work center. If we talked in terms of a dining hall, such as the one we're in, the number of meals served would be an indicator of the volume of work in this particular work center. And, through the use of a count of this work load factor, we could adjust our manning accordingly, or the manpower required to operate at different volumes.

Last, then, is the selection of the standard-setting method itself. Now, disregard the first part of this chart, and on the left you see the various elements which must be measured in order to arrive at the work center manpower standard. We must concern ourselves with the direct

man hours, and the indirect, to which we then apply a leveling factor for the skill of the people that are performing the work, the pace at which they work, and the conditions affecting their work. Then we provide an allowance factor for fatigue, personal rest or, in some cases, delay when the worker, for some reason beyond his control, is available for work but the work is not there for him, so, in effect he is idle. Last, then, we have a predetermined factor which we add, for what we call our nonavailable time. This is time lost to the work site, due to other activities, leave and sickness which, I am sure, are similar for your activities. We have a few that are peculiar to the Air Force, such as squadron duties and collateral training. KP also is peculiar to the Air Force, but it is almost a thing of the past. It is done mostly by contract, now.

To measure these elements, then, we use these five different standard-setting techniques. Time study and predetermined time standards we use to measure only the direct man hours. About 85% of the standards that we are establishing today are established via work sampling. I might add that this is the method we utilize in all cases where appropriate. We have found it to be exceedingly accurate. It gives us a lot of other by-products that we don't get with some of the other methods. And, I'll go into a little bit more detail as to how we utilize work sampling, a few minutes later.

We use several back-up methods, including "Operational Audit" which consists of some old standbys: best judgement, historical data, good operator and another new term, directed requirement. We utilize the latter where law or directive from high headquarters indicates that you must have a position, for example, an accountable officer; that is where you must have an officer for accountability purposes because of public law, etc. We have not used correlation and regression analysis extensively as a pure standard setting method, but we use a lot of correlation and regression analysis in manipulating the data collected by work sampling.

To move on then, and look at what our standard finally looks like. This is the format of a rather simple one; this happens to be a bakery work center. We have a coding in the Air Force that we use for identification of our various functions, but here you see it spelled out: It is the Food Service Function. The work load factor that we spoke of is "rations served daily." And these are the varying volumes of rations that might be encountered in the Air Force, anywhere from 50 a day to 6,300. A ration, of course, being enough food to feed one man for one day; in other words, three meals. Then, we show the skills, and here again we use a coding system: the skill levels required at different volumes of work with the total manpower requirement at the bottom. This is the format that is used, in the final product of this study. This is the manpower standard and the format in which it is presented.

I don't think it is necessary to talk too much about the use of standards. I am sure you will agree that with standards that are accurately based on good data, the usefulness is manyfold. It gives us an accurate determination of the amount of manpower we require for a given amount of work. It enables us to distribute our manpower in accordance with the workload, a more even distribution, so that we don't have some activities with huge backlogs of work because they are undermanned, and other activities that have excessive manning and not enough work. So the object of the game, so to speak, is to equalize and distribute this manpower resource which is becoming more critical and more costly, and which is receiving more emphasis from the present administration.

Let me tell you, just to brag a little bit, about the success of our program. This is sort of a summary capsule. In July of 1961 we had 365 technicians in the manpower validation program; in July of 1962 we had 585. Today we have 704. And we are expanding the program so that by 1 January 1966, we will have 2,000 people in it, Air Force wide. The reason we are able to invest this amount of resource in this program is because it has produced results. It has proven to many skeptics that it could be done. We are now beginning to hear these same people say we need more, and we need it faster. One of the reasons we have been able to convince them is that it gets results. I mean, once a standard is developed, either more manpower is added to the function or some is taken away. This is the figure, 6,350 manpower spaces have been redistributed or reallocated as a result of the work of these 585 people. This is really an outdated figure. Now, it should be about 7,000 spaces that have been withdrawn from functions, or some few where we have added manpower.

At the present time, we have about 11 percent of the total Air Force strength covered with these manpower validation standards. To give you a figure, about 120,000 spaces now have standards which have been applied. In addition to this space distribution, we know and have evidence of many cases of improved procedures and methods. In fact, we are finding that managers and supervisors of activities who learn that their function is scheduled for a manpower validation study, try to clean up their activity prior to the team's arrival. This is really great because, here again, this results directly in improved procedures and techniques and better management.

I mentioned a little earlier, that a greater acceptance of good management practices has resulted from the program. This has been slow and rather difficult at times, but the program has convinced a lot of people. And, lastly, we have a lot more accurate data upon which to base management decisions than we had heretofore.

Now, with that in mind, I would like to bridge a portion of the briefing and take you to our work sampling technique, to show you how we apply this thing. I think it will be interesting to you and will show you a little more clearly how we gather data and arrange it.

We use AF Form 1111, "Work Sampling Computations and Record" for recording the work sampling data accumulated by the manpower validation teams. It is sort of a work sheet, but it has a tremendous amount of information on it. For your information, I brought with me a few copies of our manual, AFM 25-5, which contains the guidance for the program. I understand Mr. Wylie will have them in his office if people would care to borrow or look at it. You will find AF Form 1111, and an explanation of its use, in the manual. I am going to use a "John Doe" example of the form (Figure 7-9 from the Manual) to briefly highlight some of the more significant points of the form.

First of all, in Section I we show the number of manhours assigned for each day that the team was in this activity, studying the function or organization. So, if we divide this by eight, it tells us the number of people that were in the activity when we were making the study. We also show the number of manhours available. Now, the difference between 84.5 and 114.2 (or 29.7) are the average manhours we are losing in this activity due to leave, due to sickness, due to collateral training, squadron duties, KP, or what have you. It is rather significant, when you look at this activity to find out what their manpower availability is, out of the total assigned.

Here, on the form, we show the number of observations made. We record this primarily to assure that we get our desired degree of accuracy for the study. Here we show the average leveling factor, reflecting working conditions, the skills of individuals and pace at which they work. This is a day-by-day individual average which is eventually reflected in an average for the whole work center. Under the heading of "productive time", we have another indicator of productivity. This is the total of direct and indirect manhours recorded during that day of study. Now, remember, this data is collected by the manpower validation technicians who go through this activity at random times, throughout the day, recording what the individual was doing. So they record him either as working in one of these categories, or as idle, resting, or as a delay.

Now, let's drop down, here, to the record of computations. Our example is of transportation activity where they are making up Transportation Requests. We know from the data we have collected, that the staff for this activity was spending 31 per cent of their time making up TR's or working with the TR's; van notifications, 23 per cent; typing inventories, 3.8 per cent; and so on. We find, here, a delay factor of 5.8 per cent. And delay, remember, as we have defined it, is where the individual is ready to work but there is no work for him. This is the one indicator to management that somebody ought to take a look at this thing and find out why we are losing 5.8 per cent of our effort. Rest, 10.9 per cent. Look here, idle, 12.4 per cent. This is just plain old goof-off time where the individual had some work there, but apparently didn't feel like working. He was talking about yesterday's ball game or what he was going to do in the evening.

Well, with these various categories of work, then we determine what we call the P-factor, or the percentage of the total time that was allocated to each individual in the activity. We then, of course, can convert this into numbers of manhours that were expended in each of these categories. That is what this next column is. In other words, 31 per cent of time in TR's equates to 681.07 manhours of effort.

We are using a leveling factor of 1.13 which means conditions and pace were better than normal. So, we multiply 681.07 by this factor, and we get 769.61 hours that we are now going to allow for the average individual to perform this item of work. We total this, and it becomes the number of manhours that we are going to allocate to this work center. Notice that we have excluded idle, rest and delay time from the total. These spaces are cross-hatched on the form.

We then compute our authorized rest time, and an authorized delay time, and this is done primarily by subjective judgement of the manpower validation technician and the supervisor of the activity. The two of them concerned determine how much time should be allowed for personal rest, and how much should be allowed for delay. We then calculate this in the form of a factor, 1.1364. Applying the factor to the total leveled time, now allows 2000.27 hours to perform this volume of work. Now, I could go back and show you how to utilize this data to build the standard. I don't know that we would gain much by this, other than just to show you that this is the form we use, and this is the way we manipulate our data, eventually arriving at the numbers of people for this particular work center.

I think, then, that I will conclude my remarks about the Air Force's Manpower Validation Program at this point, but I will entertain any questions for as long as we have time available.

QUESTIONS AND ANSWERS

1. **Do you use time studies?**

We have used some time study. I say some, not very much. I should have added that the reason we have a number of different methods is because the Air Force, like your Department, has many different types of functions, and one method is not necessarily the best across the board. So we have some instances where we think time study is most appropriate, the most economical, and the best method to use. High volume, repetitive jobs are conducive to time study. So we have used it in that sense.

2. **How does this relate to organization efficiency?**

I think you could relate it. We haven't done that. Our objective, as stated earlier, is primarily to make a determination, as accurately and as systematically and as objectively as we can, of the amount of manning required, and not try to compare one base with another. Now, some of this is done in review of the standards as they come up to our Headquarters. I might add that all of the standards that are developed in the field are eventually reviewed at each succeeding echelon, finally Headquarters USAF, along with the manager of that particular functional area.

3. **Do you build a standard for each different location?**

In a sense. At the present time, we are developing major command standards. This means that we eventually arrive at a standard for bakeries in Strategic Air Command, and they apply it to all of the bakeries in that command.

Air Defense Command may have a slightly different standard developed by that command. Similarly, Tactical Air Command might have another one. We are giving thought and study to the possibility, in some functional areas, of developing an Air Force common standard - one Air Force standard that we could apply to all bakeries. We have tried this before and we have run into some difficulties. It is utopia for the manager to have this one standard. It is much easier to manage with one, than it is with 18 different standards. Maybe we will get to that some day, but it requires, I think, a standardization of procedures, a standardization of equipments, and a standardization of the physical plant, to a certain degree, in order to arrive at one standard. Now, you can build a standard, and measure plus, or minus, or a deviation. But this requires the collection of much data. So, rather than build one standard and deviate from it, we are building what we call major command standards.

4. Can you develop standards for staff activities?

Functions vary in degrees of difficulty of measurement. Tangible functions, such as food service, transportation, and maintenance are more readily measurable than staff activities. We have been in the Administrative Services function in the Air Force - which is our functional activity which takes care of paper administration, if I may use the term - and have had a good bit of success in applying work sampling and arriving at standards. Now, when you get into staff activities it becomes more difficult. You can measure them, there is no question in my mind. The problem is how to get a workload factor which expresses the volume of work that is flowing through the office. I probably haven't given you a very good answer. We are working in the easier areas to start with, obviously. I think that we are going to come up with some means of measurement, or some way of stating standards, for these staff agencies as we proceed in the future.

5. What is the basic Air Force manning document?

Tables of Organization and Equipment, or T. O. & E.'s, as we call them, were used in the Air Force sometime back. Of course the Army sort of mothered us at one time so we took T. O. & E.'s with us when we became a separate service. We had difficulties with T. O. & E.'s, for the same reason I mentioned you have difficulties in developing one Air Force common standard that applies across the board - because you have extreme ranges in the location of functions. Maybe one is over on the Island of Guam, and it has the same table of organization and equipment as another one that's in Alaska, and another one over in Germany, and another one here in Washington, D. C. So, I think that was the thing that discouraged us in the Air Force from the use of T. O. & E.'s. We no longer use them as our basic authority for manning Air Force units. We use what we call a U.M.D., a Unit Manning Document, and these things are more tailored to the specific unit to which they apply.

6. Do you assume that the quality of product of a unit is satisfactory when you go in?

There are other means of controlling quality. The functional managers have the responsibility of controlling quality. The Inspector General is another one. We assume that the quality is adequate or satisfactory.

7. Who determines which functions are studied first?

We give the major command a good bit of latitude, so that they can schedule the priority of functions. We impose no controls upon him. So if aircraft maintenance is a problem, for example, in Military Air Transport, MATS, they can decide that the next

activity will be this function. In addition to that, we have found that Commanders are beginning to want to use these teams as trouble shooters, when they have a problem they want the validation team to study and develop some facts on, so they can make a decision.

We are sort of torn between two extremes, here. We want to get standards but, by the same token, we want to advertise our product and the quality of our teams. So, we are flattered that they are asking for our service. But we can't let this go too far or we are going to miss our primary objective of developing standards. In this light, it is rather interesting to note that we have had a lot of pressure in the Air Force, Department of Defense, as I think you have, for better utilization of your people and resources. You see much correspondence from top management, asking for somebody to do something. They want action, and General LeMay has written a number of letters like this to various of his commands. I was interested in General Powers reply from Strategic Air Command in which he said that they were going to utilize their manpower validation team to get better control over their manpower resource, and that they were going to expand their validation effort. So, here's a top manager again, recognizing that he has a good tool in the Manpower Validation Program for examining the manning, right down at the work site.

8. What is being done to standardize work center descriptions?

First, by command. Before the major command can start to build a common command standard, they have to standardize work center descriptions and definitions. They are doing that. So we have standardized work center descriptions, by command. But, if you compare one command with another, they may not necessarily be the same. The Administrative Services people of Hq USAF are working toward this end. When they see these differences, they try to bump them together. They say we are doing it this way in MATS, why can't we do it this way in SAC, etc.?

9. Are these standards available?

Yes sir. We have a couple of packages we are working on, right now. I think ATC has one completed. PACAF has one also.

10. Is the program paying its way?

Well, I think so. I would say so, from this chart. Maybe I gave you the wrong impression. I think I said we first started to think about this program in 1958. But it really got underway in July of 1961. So, the point I was going to make was that we had this number of people in July of 1961. This is 1962. So, you

might say we have redistributed about 6,350 spaces with this number of people. This is a pay off of about 9 to 10 to one. In other words, for every individual we have invested in this program, we are getting a pay off or redistributing about 9 or 10 people. You could make some different assumptions and come up with something different, but I think that the pay off is there.

11. <u>In this Department we could never get the people to do the job</u>.

Well, we were told the same thing, and I tell you it was a terrible fight at our place. They wouldn't even give us any spaces to get started, but they said we'll loan you 150 spaces. So, we had to work on the skeptics pretty hard. There are still some people who think this is a crazy scheme, a "way out yonder" type of thinking, but they are getting fewer and fewer, in the Air Force.

12. <u>Is this somewhat similar to the program of Captain Phillips in the Navy? Or do you know about their program?</u>

Well, just a little bit, in that I heard the presentation that he made up at Cacapon, at the Bureau of the Budget Conference. Their program is the use of time study, predetermined time standards, M.T.M., the standard industrial techniques as it applies in shipyards and their supply installations. So, other than that, I know very little about the Navy's program. I think it's smaller. Maybe I shouldn't say that when he is not here to defend himself. But I know it applies to a lesser number of people.

13. <u>Can you actually account for these space redistributions in budget reductions?</u>

We report these things all the time to the House sub-committee for manpower, and we do it this way: We say we have taken these spaces away from functions and applied them against other high priority functions which the Air Force has not been able to fund. We take these spaces where we can find them, and apply them against other missions that we have in the Air Force, which we have not been able to fund because of our manpower ceiling. So what we are doing, in effect, is redistributing. I think if we were to look at this thing, overall, we could say that the Air Force is getting more productivity as the result of this exercise.

14. <u>What will be your ultimate standards coverage</u>?

We have given some thought to this. I don't think we can very accurately say what our ultimate coverage will be. I think we would hope for somewhere around 85 per cent of the total Air

Force strength. Our total strength is about 1,200,000. I don't think we will be measuring all activities, and the research and development activities are very difficult. I don't know if we can very effectively measure manpower standards for those activities. But I think we can get about 85 per cent of the Air Force strength with these standards.

15. Do you still use Manpower Surveys in the Air Force?

No. The Air Force has had a lot of this in the past. You all have, I am sure, been connected with this type of thing. Desk audits, they are commonly called - where a team comes through and quantifies the work and makes some calculations. Usually it's a one time fix. And secondly, you don't get universal recognition of this kind of study, so that it is just one time, and then it is finished. With Manpower Standards, we can put them in our books and use them in the future. In other words, let's not price out a pound of meat every two days, because it gets costly to make this pricing. Let's decide what the cost will be to do so much work, and then live by that, instead of redoing it every year.

16. What kind of spaces are these that you are redistributing?

Well, I would think - I'm pretty certain that most of the spaces that we have redistributed have not been in the high priced, highly skilled area. It's in the nature of the functions that we are looking at: food service, supply. However we have been into some communications and electronics, and they have some pretty high priced talent in those areas. We have had some pretty good success in our Air Force Communications Service, which is an electronics communication activity. So, I don't think you can generalize on this, other than what I have already stated, that generally it has been more in the lower skills than the top skills.

17. How often do you change manning documents?

We update our unit manning document - this is the authorization for the manning in the unit - quarterly. So, if the workload varies significantly, then these changes will be quarterly. It depends primarily, upon what has happened, what is history. However, in some cases I would visualize we would use predicted workloads.

Attachments:
AF Form 1111, Work Sampling Computations and Record (from AF Manual 25-5)
Air Force Management Summary Sheet, December 1962, describing the USAF Manpower Validation Program

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WORK SAMPLING COMPUTATIONS AND RECORD

COMMAND-ORGANIZATION	FUNCTION	SUBFUNCTION	WORK CENTER	WORKLOAD FACTOR
ATC-000 Transportation Sqd	Transportation- 43000	Traffic Management-43100	Transportation Office	A shipment processed

LOCATION	MVP TEAM CHIEF	OBSERVER	COMPUTATIONS BY	DATE STARTED	DATE COMPLETED
X AF Base	Capt J. J. Jones	MSGT T. Smith TSGT R. Brown	H. Johnson	3 June 60	13 July 60

I. SUMMARY

DATA: SAMPLING DAYS	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	TOTAL	AVERAGE
DAY OF MONTH	3	6	7	8	9	10	13	14	15	16	17	20	21	22	~~23~~		
MANHOURS ASSIGNED	120	120	120	120	120	120	120	112	112	112	112	112	112	112	~~112~~		
MANHOURS AVAILABLE	79	72	82	86	83	70	93	90	82	65	91	79	92	92	~~69~~		
NUMBER OF OBSERVATIONS	42	48	37	48	42	45	39	40	43	39	42	43	44	42	~~40~~		
AVERAGE LEVELING FACTOR	1.25	1.25	1.15	1.15	1.15	1.10	1.15	1.20	1.15	1.10	1.15	1.10	1.15	1.15	~~1.00~~		
PRODUCTIVE TIME Σ_P'	.71	.79	.84	.60	.69	.67	.67	.63	.58	.67	.74	.74	.56	.57	~~.40~~		
WORKLOAD FACTOR VOLUME	126	113	131	135	130	105	146	139	125	97	141	123	144	145	~~104~~		
DATA: SAMPLING DAYS	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30		
DAY OF MONTH	24	27	28	29	30	1 Jul	5	6	7	8	11	12	~~13~~				
MANHOURS ASSIGNED	112	112	112	112	112	112	112	112	112	112	112	112	~~112~~			2968	114.2
MANHOURS AVAILABLE	87	96	81	88	92	91	95	86	90	81	74	80	~~54~~			2197	84.5
NUMBER OF OBSERVATIONS	43	43	44	44	44	44	39	44	45	42	40	40	~~45~~			1106	42.5
AVERAGE LEVELING FACTOR	1.20	1.00	1.00	1.00	.95	1.20	1.15	1.20	1.15	1.10	1.15	1.13	~~1.00~~			29.43	1.13
PRODUCTIVE TIME Σ_P'	.70	.81	.77	.71	.80	.80	.64	.66	.64	.71	.70	.80	~~.40~~				
WORKLOAD FACTOR VOLUME	136	147	121	139	136	135	143	136	133	120	112	135	~~90~~			3393	130.5

II. RECORD OF COMPUTATIONS

A. AUTHORIZED PERSONAL REST—% (COORDINATE WITH SUPERVISOR) 10.00

B. AUTHORIZED DELAY—% (COORDINATE WITH SUPERVISOR) 2.00

C. ALLOWANCE FACTOR $C = 1 \text{ PLUS } \frac{(A+B)}{100-(A+B)}$ 1 PLUS $\frac{12}{88}$ = 1.1364

D. ALLOWED TIME D=C TIMES TOTAL LEVELED TIME 1.1364 TIMES 1760.18 = 2000.27

E. PERSONAL REST TIME E=A TIMES D .1000 TIMES 2000.27 = 200.03

F. DELAY TIME F=B TIMES D .0200 TIMES 2000.27 = 40.01

G. WORK CENTER TIME STANDARD $G = \frac{\text{ALLOWED TIME}}{\text{ADJUSTED OR ACTUAL WF VOLUME}}$ = .5895

III. REMARKS

1. Samples for 23 June excluded because of civil defense drill.
2. Samples for 13 July excluded because of retirement ceremonies.

FOR HQ USAF USE ONLY

AF FORM AUG 62 1111 PREVIOUS EDITIONS OF THIS FORM WILL BE USED UNTIL STOCK IS EXHAUSTED.

Figure 7–9. (Front)

IV.		RECORD OF COMPUTATIONS							
		CATEGORIES A	ESTIMATED P B	ACTUAL NUMBER OBSERVATIONS C	ACTUAL $\bar{P}$ D	$2\sqrt{\bar{P}(1-\bar{P})}$ E	$\frac{2\sqrt{\bar{P}(1-\bar{P})}}{\sqrt{N}}$ [1] ACCURACY F	ACTUAL $\bar{P}$ TIMES MAN HOURS AVAILABLE G	LEVELED TIME H
PRODUCTIVE	D	TR's	.40	343	.310	.924986	.0278	681.07	769.61
	I	Van notifications	.10	255	.230	.841664	.0253	505.31	571.00
	R	Type inventories	.05	42	.038	.382392	.0115	83.49	94.34
	E	Bills of lading	.05	45	.041	.396580	.0119	90.08	101.79
	C	Typing - other	.05	21	.019	.273048	.0082	41.74	47.17
	T								
	I	Filing	.05	36	.033	.357272	.0107	72.50	81.92
	N	Reports	.05	20	.018	.265902	.0080	39.55	44.69
	D	Carrier listings	.02	13	.012	.217770	.0065	26.36	29.79
	I	Telephone - other	.03	9	.008	.178168	.0054	17.58	19.87
	R								
	E								
	C								
	T								
DELAY			.05	64	.058	.467486	.0141	127.43	
PERSONAL, REST			.10	121	.109	.623278	.0187	239.47	
IDLE			.05	137	.124	.659162	.0198	272.43	
		TOTAL	100% 1.00	N= 1106	100% 1.000			2197.01	1760.18
			ESTIMATED N= 1069 (FOR ±3% ACCURACY)			$\sqrt{N}$= 33.257			

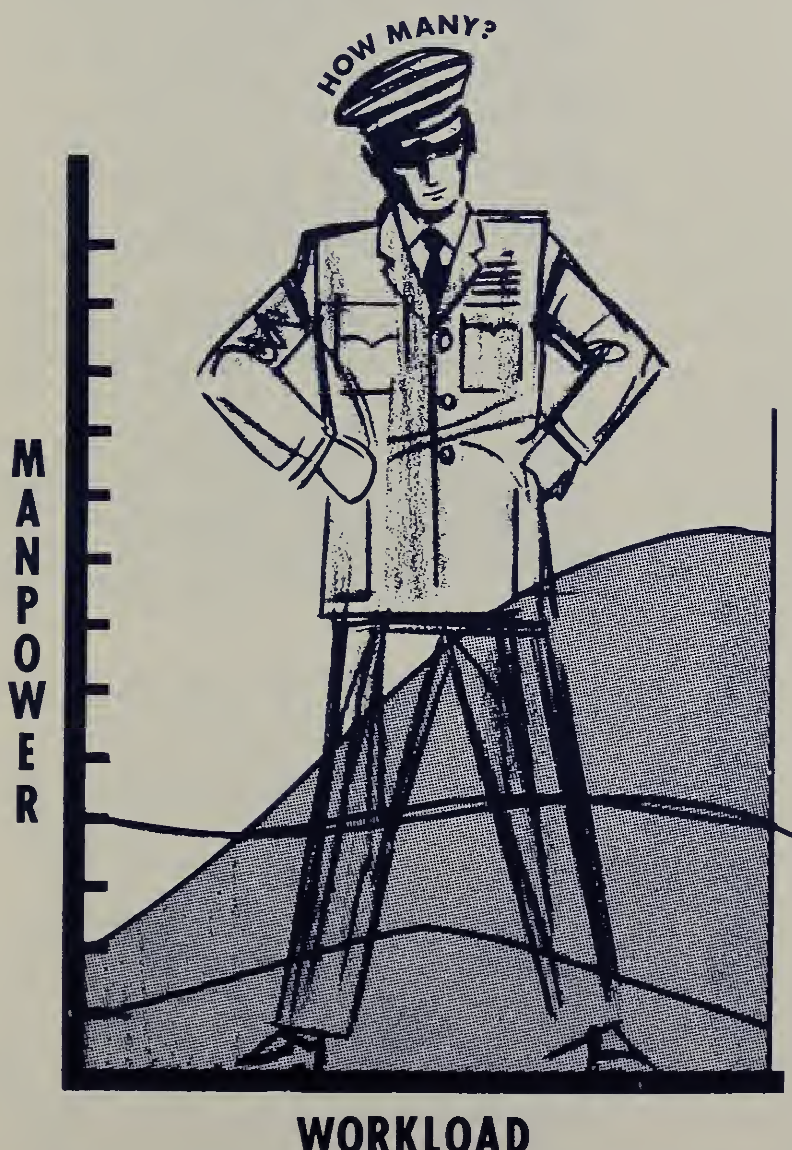
[1] If greater than 3%, take more observations.

Figure 7–9. (Back)

MANAGEMENT

summary sheet

USAF MANPOWER VALIDATION PROGRAM



The Air Force constantly strives for more effective distribution and use of its manpower. Through the years, it has used various systems designed to measure workloads and manpower requirements. But none of these systems accurately reflected manpower needs at operating levels -- nor did they provide the necessary data for program planning needed by Headquarters USAF.

The USAF Manpower Validation Program (MVP) provides the tools for producing engineered manpower standards which are valid and usable at all echelons. Through MVP, we can plan, allocate, control, and program manpower requirements according to current and planned workloads.

The techniques employed by MVP help to achieve the same objectives that were of concern to the President when he recently directed all executive departments to strengthen manpower controls and increase productivity.

As you see by this issue of the Summary Sheet, we are making progress.

B O Davis, Jr.

B. O. DAVIS, JR
Maj Gen, USAF
Director
Manpower & Organization, DCS/O

HEADQUARTERS USAF – DEC 1962 NO. 2

(Two to Four Issues a Year)

Why Have A Validation Program?

In developing manpower standards, Headquarters USAF and the major air commands have at times used different or incompatible criteria. For example, Headquarters USAF expressed criteria in broad terms, such as a specific manpower authorization for a given population or for the number of flying hours. These criteria lacked adaptability for use at operating levels. On the other hand, the major air commands included in their criteria too much extraneous data to be of value to Headquarters USAF. Too often the criteria or standards developed by the commands were based on subjective judgment rather than on objective analysis. Criteria that could be used by both Headquarters USAF and operating levels were needed.

In January 1959, the Vice Chief of Staff approved the concept of the Manpower Validation Program (MVP). After a six-month test was conducted at five major air commands, a small number of personnel were selected and trained for the program. AFM 25-5, "USAF Manpower Validation Program," was published and the program officially implemented on 1 July 1960.

How The Program Works

The principal effort of MVP is now being carried out by some 75 MVP teams, physically located at Air Force bases, but assigned to a major air command headquarters. A team usually consists of three senior airmen and two officers, all trained in work methods and standards. At present, the teams concentrate on determining manpower required to perform a given task under existing organizational/functional arrangements. After the initial schedule of standards coverage is attained, these teams will spend more time on the management engineering aspects of methods improvement, work simplification, and improved equipment utilization at the operating "grass roots" level. Ultimately, they will devote 50% of their time to management engineering and 50% to developing and updating standards.

Under MVP, trained technicians employ systematic and proven methods to develop and maintain accurate work center manpower standards. In other words, they determine, by using one of the following methods, how many people are required to do a job:

1. Time study
2. Predetermined time standards
3. Correlation and regression analysis
4. Operational audit
5. Work sampling

These five choices allow flexibility in applying a study method to the wide range of Air Force functions. Work sampling has proven to be the best method in studying most of these functions. It is now used in approximately 85% of the work centers where standards are being developed. Its extreme objectivity increases the validity of the standards developed.

Work sampling also assists the manager by providing other manpower utilization data. By reviewing the sampling worksheets (AF Form 1111), he can see how much time is being spent on each element of the direct production activities, how much on indirect production, how much on nonwork allowances (coffee and rest), and how much on delay -- avoidable and unavoidable.

<u>Steps in the MVP process are as follows:</u>

1. <u>The MVP team develops the work center description</u> (a written work statement for the work center); <u>selects a workload factor</u> (the requirement for a work center's products or services which can be translated into a manning requirement, such as electrical units repaired for an electrical shop); <u>and determines which standards development method to use</u> (work sampling, for example). During this process, a team observes the work methods being used, and if these methods can be improved, recommends changes to the supervisor.

2. The MVP team forwards the work center description to the major air command for review. The functional staff concerned standardizes the work statements and work center descriptions for the entire command.

3. The major air command sends the work center descriptions to several MVP (command) teams to develop the standard. These teams are located on bases most representative of the command's operation in the work centers of the function involved.

4. The (command) teams collect the data, computing and arranging it in prescribed format for forwarding to the major air command headquarters. When the work sampling method is used, a minimum of 15 days is required to collect the data.

5. The major air command, on the basis of the data received, develops a command standard. If the data collected by the teams is not conducive to a common standard, the command must either redirect an effort toward a common standard or develop separate standards for the variations.

6. After the command functional staff approves the standard, the major air command changes the existing manning for the work center. The standard is then forwarded to Headquarters USAF for final approval.

7. Headquarters USAF reviews the work statements, work center descriptions, procedures used by the teams, and the extensions of the basic data. This assures that the correct type and volume of work are accurately stated and measured.

8. Headquarters USAF approves the standard and allocates the manpower spaces specified in the standard. The standard is included in AFM 26-1 and it becomes a planning and programming guide for Headquarters USAF. This guide is completely compatible with the standards used by field activities.

What The Program Has Accomplished

MVP was officially implemented in July 1960. As in any new program, MVP had numerous operating problems and actually didn't get started until July 1961. Within one year's time, the program produced tangible results although it had only 121 trained personnel. During 1962, the oversea commands were included in the program.

As of 1 July 1962, 575 personnel were in the program. This number represented .00047 of the total assigned Air Force strength. (Staffing for comparable programs in other Government and industrial organizations ranges between .004 and .01 of the total assigned strength.) Considering the size of the work force and the work to be done, much was accomplished between July 1961 and August 1962:

1. Redistributed over 4,660 manpower spaces to other priority missions in the Air Force. (The average number of MVP personnel involved during this time was 480. This represents a return of 9.7 spaces for each person assigned to the program.)

2. Placed in effect standards for functions that represent approximately 5% of the total Air Force strength. (While standards have been established for approximately 5% of the total Air Force strength (or 60,000), the reductions (4,660) achieved within that 5% represent an actual reduction of 7.8% Although the functions studied were those expected to yield a high return, these results indicate the MVP potential for setting standards in the remaining functions.

3. Helped to improve management at the "grass roots" level, including the use of equipment.

4. Made managers aware of the need to improve their use of manpower.

5. Through work sampling, produced manpower utilization data not otherwise available.

6. Developed accurate manpower data for use in improving manpower planning and programming.

Items 3, 4, 5, and 6 cannot be measured statistically, but their benefits may be as significant as the first two achievements.

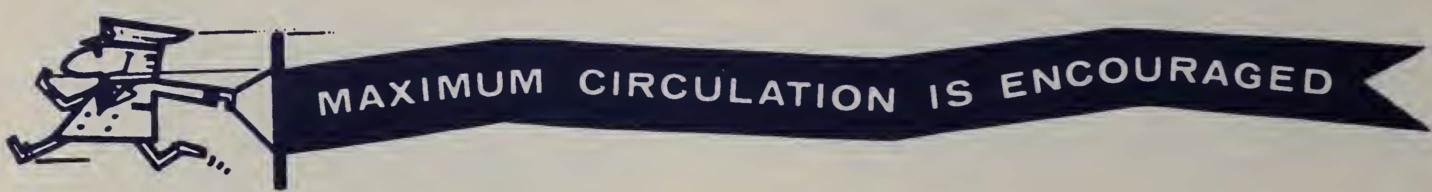
What About Future MVP Accomplishments?

You may ask, "Why not expand MVP at least fourfold and quadruple the results?" The program is being expanded as rapidly as qualified personnel and available training capabilities permit. But properly trained personnel and the use of scientific study methods do not in themselves guarantee a successful program. Two other interrelated elements are essential to the program's success. They are TIME and QUALITY STANDARDS.

Developing an engineered manpower standard is a time-consuming process. Enough time to do a job is essential if we are to improve existing standards with the precision that a critical and costly manpower resource requires. The urge to speed-up tends to discount quality, and quality is a MUST for the program. If quality is reduced for the sake of quantity, we will revert to the quick, subjective standards already proved to be of little value.

MVP is a step forward. The program is unique because of the wide range and complexity of Air Force functions and the number of personnel employed. For example, there are over 75 distinct functions and 1,200,000 personnel to be considered. The task is gigantic, but the start is substantial.

MVP enables the Air Force to measure its manpower requirements in a finite and accurate manner, thus assuring more effective allocation of its manpower resources in time of peace and in war.



DIRECTORATE OF MANPOWER AND ORGANIZATION

USAF PERIODICAL 11-4

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